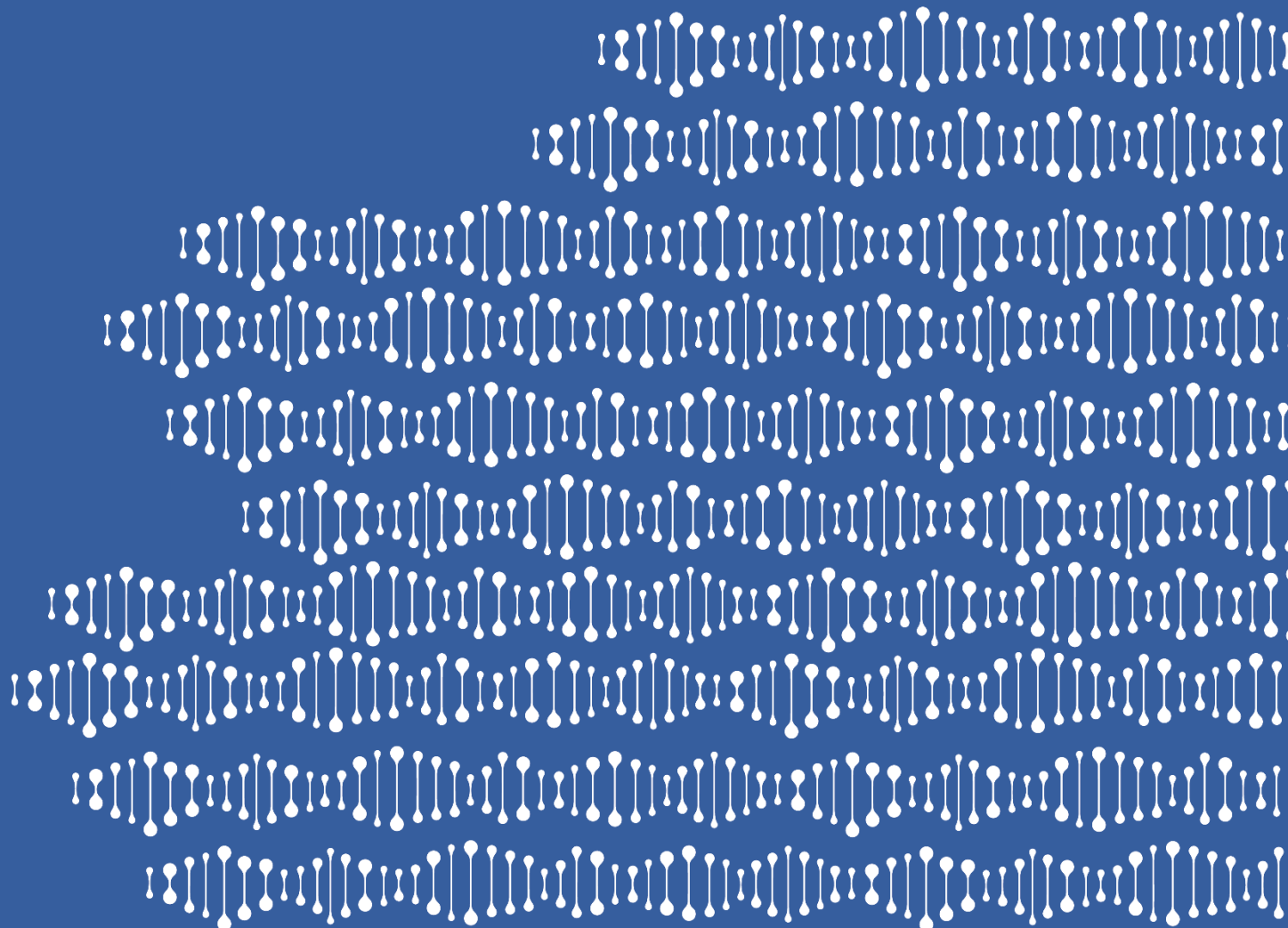




CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# Proposed Grant Awards

September 14, 2016



*Information in this packet is confidential until announced at  
the September 14, 2016, Oversight Committee meeting.*



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Academic Research Program Priorities Addressed by Recommended Awards					
A broad range of innovative, investigator-initiated research projects	Prevention and early detection	Computational biology and analytic methods	Rare and intractable cancers, including childhood cancers	Population disparities and cancers of importance in Texas	Enhance Texas' Research capacity and life science infrastructure
	<p><b>\$2,000,000</b> <b>1 Project</b></p> <ul style="list-style-type: none"> <li>UTMDA RR160096 (\$2,000,000)</li> </ul>	<p><b>\$4,000,000</b> <b>2 Projects</b></p> <ul style="list-style-type: none"> <li>UTSW RR160082 (\$2,000,000)</li> <li>UTMDA RR160075 (\$2,000,000)</li> </ul>		<p><b>\$2,000,000</b> <b>1 Project</b></p> <ul style="list-style-type: none"> <li>UTSW RR160080 (\$2,000,000)</li> </ul>	<p><b>\$50,062,539</b> <b>14 Projects</b></p> <ul style="list-style-type: none"> <li>UTMDA RP170002 (\$6,000,000)</li> <li>Texas Tech HSC RP170003 (\$2,499,900)</li> <li>Baylor COM RP170005 (\$5,000,000)</li> <li>Scott &amp; White RP170006 (\$3,562,639)</li> <li>UTMDA RR160077 (\$6,000,000)</li> <li>UTSW RR160082 (\$2,000,000)</li> <li>UT at Austin RR160088 (\$2,000,000)</li> <li>UTSW RR160080 (\$2,000,000)</li> <li>UT HOUSTON RR160083 (\$2,000,000)</li> <li>UTMDA RR160089 (\$4,000,000)</li> <li>UTMDA RR160096 (\$2,000,000)</li> <li>UTMDA RR160097 (\$2,000,000)</li> <li>UTSW RR160101 (\$6,000,000)</li> <li>UT at Austin RR160093 (\$6,000,000)</li> </ul>

\*Some grants awards address more than one program priority and will be double counted.

## Program Priorities



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## MEMORANDUM

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**TO:** OVERSIGHT COMMITTEE

**FROM:** JIM WILLSON, MD, CHIEF SCIENTIFIC OFFICER

**SUBJECT:** ACADEMIC RESEARCH FY 2017 REVIEW CYCLE 1 AND  
RECRUITMENT AWARD RECOMMENDATIONS FY16.10, 16.11, 16.12.

**DATE:** SEPTEMBER 6, 2016

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**Summary and Recommendation:**

The CPRIT Scientific Review Council (SRC) and the Program Integration Committee reviewed and recommend awarding 14 Academic Research projects totaling \$50,062,539. The grant recommendations are presented in four slates corresponding to grant mechanism released in Cycle 17.1 and Recruitment Award Recommendations FY16.10, 16.11, 16.12.

Grant Type		SRC Recommendations
4	Core Facilities Support Awards – Competitive Renewals	\$16,062,539
3	Recruitment of Established Investigators	\$18,000,000
1	Recruitment of Rising Stars	\$4,000,000
6	Recruitment of First Time -Tenure Track Faculty Members	\$12,000,000
14	<b>Total</b>	<b>\$50,062,539</b>

**Program Priorities Addressed:**

The recommended applications address one or more of the Academic Research Program priorities. Several applications address more than one priority. (See attachment 1) for detail.

#	Program Priorities Addressed by Grant Recommendations*
1	Prevention and early detection
1	Cancers of Importance to Texas – Lung Cancer
2	Computational biology and analytic methods
14	Enhance Texas’ research capacity and life science infrastructure

**Cycle 16.1 and 17.1 RFAs**

The four slates presented represent applications recommended for funding, were submitted in response to four academic research award mechanism Request for Applications (RFAs): Core Facilities Support Awards – Competitive Renewals (RFA R-17 CFSA -1 Renewals);

Recruitment of Established Investigators (RFA R-16 -1 REI), Recruitment of Rising Stars (RFA R-16.1 RRS) and Recruitment of First-Time Tenure Track Faculty Members (RFA R-16.1 RFT).

The four Core Facilities Support Awards (CFSA - Competitive renewals) presented were reviewed with the 16.2 CFSA- non-renewal review cycle, however recommended for funding in FY17 to assure continued support. The ten Recruitment Awards were deferred to FY17 to assure sufficient funds were available to support all recommended research grants in FY16.

**Academic Research Program Slates:**

***Core Facilities Support Awards (RFA R-17-CFSA-1: Competitive Renewal)  
Slate (Totaling \$16,062,539)***

**Peer Review Recommendations:**

The Scientific Review Council recommended four Core Facility Support Awards – Competitive Renewals for funding, totaling \$16,062,539.

**Purpose of Core Facility Support Competitive Renewal Awards:**

Supports applications from eligible organizations for Core Facility Support Awards to continue funding for existing core facilities that will directly support cancer research programs to advance knowledge of the causes, prevention, and/or treatment of cancer or improve quality of life for patients with and survivors of cancer. This competitive renewal RFA was only open to projects that were funded in 2012 pursuant to RFA R-12-CFSA-1 with an original contract end date of November 30, 2016.

**Core Facility Funding Levels:**

The maximum duration for this award mechanism is 5 years. Eligible applicants may request up to the total amount that was originally awarded not to exceed \$5,000,000 in total costs

**Recommended Core Facility Support Awards Competitive Renewal Projects:**

**Application ID:** RP170005

**Funding Mechanism:** Core Facility Support Awards-Competitive Renewal

**Principal Investigator:** Dean Edwards, Ph.D.

**Applicant Organization:** Baylor College of Medicine

**Project Title:** Proteomics and Metabolomics Core Facility

**Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:** 1.8

**Total Budget Recommended:** \$5,000,000

**CPRIT Priorities addressed:** Enhance Texas' research capacity and life sciences infrastructure

**Description:**

This is a renewal application for the Proteomics and Metabolomics Core Facility at the Baylor College of Medicine (BCM). The Core provides cancer researchers with access to state-of-the-art proteomics and metabolomics technologies for discovery of protein and metabolic pathways that underlie important cancer research problems such as identification of drivers of cancer molecular subtypes, resistance mechanisms to enable development of effective alternative therapies,

identification of biomarkers for diagnosis and improved therapy choices, and new targets for drug development. The Core Facility has conducted projects for 67 different cancer researchers at BCM across 16 departments. This work has resulted in 38 core supported publications in top tier journals reporting on important discoveries across a variety of cancer types. Discoveries include identification of metabolic signatures associated with cancer progression, protein and metabolic pathways that contribute to therapy resistance and new therapeutic targets that in some cases led to drug development and clinical studies. In addition, core users to date have been awarded 59 new cancer related grants (\$49M total directs) containing either core generated preliminary data and/or specific aims requiring core support.

**Application ID:** RP170003

**Funding Mechanism:** Core Facility Support Awards-Competitive Renewal

**Principal Investigator:** Richard Leff, PharmD.

**Applicant Organization:** Texas Tech University Health Sciences Center

**Project Title:** North Texas Clinical Pharmacology Cancer Core

**Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:** 1.9

**Total Budget Recommended:** \$2,499,900

**CPRIT Priorities addressed:** Enhance Texas' research capacity and life sciences infrastructure

**Description:**

This competitive renewal award will continue CPRIT support for the North Texas Clinical Pharmacology Cancer Core. The Core, operated by the Texas Tech Health Science Center School of Pharmacy, Dallas Branch, conducts drug levels and biomarker analyses in support of preclinical and clinical investigations. These services are available to all cancer researchers in North Texas. The core's most frequent partner is the UT Southwestern Simmons Comprehensive Cancer Center where the Core has served 36 NCI funded programs, including a lung cancer Specialize Program of Research Excellence. Thus the facility facilitates both the research of investigators in North Texas, their ability to be competitive for NIH peer-reviewed funding, and ability to attract cutting edge cancer clinical trials.

**Application ID:** RP170002

**Funding Mechanism:** Core Facility Support Awards-Competitive Renewal

**Principal Investigator:** Jianjun Shen, Ph.D.

**Applicant Organization:** The University of Texas M. D. Anderson Cancer Center

**Project Title:** The University of Texas MD Anderson Cancer Center Science Park Next-Generation Sequencing Facility

**Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:** 2.0

**Total Budget Recommended:** \$5,000,000

**CPRIT Priorities addressed:** Enhance Texas' research capacity and life sciences infrastructure

**Description:**

This competitive renewal award will continue CPRIT support for the University of Texas MD Anderson Cancer Center Science Park Next-Generation Sequencing Facility. Next-Generation Sequencing, the process of determining the precise order of nucleotides within a DNA molecule, is a mainstay of modern cancer research. This state-of-the-art facility provides cancer researchers at MDACC Science Park, The University of Texas at Austin and Texas State University San

Marcos with access to Next-Generation Sequencing. During the past funding period, the Core provided service to 28 tenured or tenure track faculty and has helped users to secure over \$10.9 M from external funding agencies. The Core has established a mechanism that allows junior investigators with less research support to use the NGS Facilities' services at reduced cost. In addition, the core has educated and informed NGS Core User Group members through ten NGS workshops attended by 296 researchers.

**Application ID:** RP170006

**Funding Mechanism:** Core Facility Support Awards-Competitive Renewal

**Principal Investigator:** Jung Woo, Ph.D.

**Applicant Organization:** Scott & White Healthcare

**Project Title:** Investigational New Drug Production Core Facility at Scott and White Cancer Research Institute

**Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:** 2.1

**Total Budget Recommended:** \$ 3,562,639

**CPRIT Priorities addressed:** Enhance Texas' research capacity and life sciences infrastructure.

**Description:**

The Core Facility provides investigators with clinical grade new drugs for testing in cancer patients. The objectives for this award period are to produce at least three drugs every two years in GMP suites, transfer those drugs to sponsored investigators, and to provide drug characterization and analytical support for obtaining an approved IND for testing in human clinical trials. The PI, Dr. Jung-Hee Woo and his team have proven expertise and have successfully manufactured nine investigational new drug materials. All proposed projects are to develop new biologics for cancer treatment and are expected to take optimal use of the facility.

***RECRUITMENT OF ESTABLISHED INVESTIGATORS SLATE  
FY16.10 AND FY16.12***

**Peer Review Recommendations**

The applications were evaluated and scored by the Scientific Review Council (SRC) to determine the candidates' potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the candidate and his/her potential for continued superb performance as a cancer researcher, scientific merit of the proposed research program, his/her long-term contribution to and impact on the field of cancer research, and strength of the institutional commitment to the candidate.

**Purpose of Recruitment of Established Investigators Awards:**

The aim is to recruit outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas.

**Funding levels for Recruitment of Established Investigators Awards:**

Up to \$6 million over a period of 5 years.

**Recommended Projects:**

Three candidates are being recommended for Established Investigator Awards:

- 1 at The University of Texas Southwestern Medical Center:
- 1 at The University of Texas M.D. Anderson Cancer Center and
- 1 at The University of Texas at Austin

Below is a listing of these candidates with their associated expertise. All have outstanding training and records of achievement and a strong commitment to cancer research.

**RR160077**

**Candidate:** Michael Clark, M.D.

**Funding Mechanism:** Recruitment of Established Investigators

**Applicant Organization:** The University of Texas M. D. Anderson Cancer Center

**Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:** 1.0

**Recommended Total Budget Award and Duration:** \$6,000,000.

**CPRIT Priorities addressed:** Enhance Texas' research capacity and life science infrastructure

**Description:**

Michael F. Clarke, M.D is being recruited from Stanford University to the University of Texas MD Anderson Cancer Center as a Professor in the Department of Cancer Biology. Dr. Clarke is internationally known for his work on stem cell biology and cancer. He received his undergraduate and medical degrees from Indiana University and completed an oncology fellowship at the NCI and was at University of Michigan before going to Stanford University in 2005. His elegant work on the existence of cancer stem cells has been cited more than 7500 times. The cancer stem cells drive the growth and spread of a malignant tumor and are often resistant to standard therapies. The ultimate goal of his laboratory program is to gain a thorough understanding of the regulation of normal and cancer stem cells and use this information to provide insights into new cancer therapies as well as insights into how to minimize tissue damage from cancer therapies.

**RR160101**

**Candidate:** Guo-Min Li, Ph.D.

**Funding Mechanism:** Recruitment of Established Investigators

**Applicant Organization:** The University of Texas Southwestern Medical Center

**Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:** 2.0

**Recommended Total Budget Award and Duration:** \$6,000,000.

**CPRIT Priorities addressed:** Enhance Texas' research capacity and life science infrastructure

**Description:**

Dr. Guo-Min Li is currently a Professor of Biochemistry and Molecular Biology at the University of Southern California Keck School of Medicine, and is being recruited as an Established Investigator to the Department of Radiation Oncology at UT Southwestern Medical Center. Dr. Li studies the role of defective DNA mismatch repair (MMR) in genome instability and cancer. He has made a number of seminal contributions to the field, including discovering MMR defects in colorectal tumors displaying microsatellite instability, identifying and characterizing the majority of human MMR enzymes, reconstituting the human MMR reaction in vitro, and identifying the apoptotic function of MMR. His laboratory has made two additional

observations that suggest opportunities for therapy. He proposes to continue this work in Texas with a focus on the role of PCNA phosphorylation in tumor progression. Scientific Review Council members commented that Dr. Li's work is characterized by a high degree of rigor and excellence. Several of his papers have profoundly influenced the field and noted that his recruitment would bring significant expertise in DNA repair and cancer to Texas.

**RR160093**

**Candidate:** Gail Eckhardt, M.D.

**Funding Mechanism:** Recruitment of Established Investigators

**Applicant Organization:** The University of Texas at Austin

**Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:** 2.6

**Recommended Total Budget Award and Duration:** \$6,000,000.

**CPRIT Priorities addressed:** Enhance Texas' research capacity and life science infrastructure

**Description:**

Gail Eckhardt M.D. is being recruited to UT Austin to be the Director of its new LiveStrong Cancer Institute and as the Associate Dean of Oncology at the Dell Medical School. She currently is the Associate Director of Translational Research and Director of Medical Oncology at the University of Colorado Cancer Center. Dr. Eckhardt is an accomplished clinical investigator who has a strong record in the design, implementation and analysis of early phase trials of novel antineoplastic agents and in the pre-clinical evaluation of new agents prior to their clinical introduction. As Director of the LiveStrong Cancer Center she plans to develop, test and implement hypothesis-driven therapeutic strategies for cancer patients. A major feature of this program will be to build a robust and clinically relevant preclinical testing platform that leverages the outstanding computational and engineering capabilities at UT Austin and create a unique scientific and clinical focus for the academic and business communities.

***RECRUITMENT OF RISING STARS SLATE FY16.11*****Peer Review Recommendations**

The applications were evaluated and scored by the Scientific Review Council (SRC) to determine the candidates' potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the candidate and his/her potential for continued superb performance as a cancer researcher, his/her scientific merit of the proposed research program, his/her long-term contribution to and impact on the field of cancer research, and strength of the institutional commitment to the candidate.

**Purpose of Recruitment of Rising Stars**

Recruits outstanding early-stage investigators to Texas, who have demonstrated the promise for continued and enhanced contributions to the field of cancer research.

**Funding levels for Recruitment of Rising Stars**

Up to \$4 million over a period of 5 years.



**Recommended Projects:**

One candidate is being recommended for a Rising Stars Award:

- 1 at The University of Texas M.D. Anderson Cancer Center

**RR160089**

**Candidate:** Robert Jenq M.D.

**Applicant Organization:** The University of Texas M.D. Anderson Cancer Center

**Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:**2.0

**Recommended Total Budget Award and Duration:** \$4,000,000

**CPRIT Priorities addressed:** Enhance Texas' research capacity and life science infrastructure

**Description:**

Robert Jenq M.D. is being recruited as a Rising Star to the Departments of Genomic Medicine and Stem Cell Transplantation and Cellular Therapy, Division of Cancer Medicine, at M.D. Anderson Cancer Center. He is an expert in hematologic malignancies, allogeneic bone marrow transplantation and immunotherapy and is currently an Assistant Professor at Weill Cornell Medical College and Assistant Member at Memorial Sloan-Kettering Cancer Center. He is described as an exceptional and prolific young physician-scientist whose focus is on strategies to modulate the immune system in bone marrow transplant patients to improve outcomes. As principal investigator, he has been awarded an R01 grant. Dr. Jenq is an innovative, remarkable young physician-scientist with a long track record of successful projects and high-impact contributions to cancer science at multiple world-class cancer research entities, and he has received strong competing offers from renowned academic institutions. His research investigates the intestinal microbiota impact on graft versus host disease severity and malignant disease relapse after allogeneic stem cell transplantation.

***RECRUITMENT FIRST-TIME TENURE TRACK FACULTY MEMBERS  
SLATE FY16.11 AND FY16.12***

**Peer Review Recommendations**

The applications were evaluated and scored by the Scientific Review Council (SRC) to determine the candidates' potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the candidate and his/her potential for continued superb performance as a cancer researcher, his/her scientific merit of the proposed research program, his/her long-term contribution to and impact on the field of cancer research, and strength of the institutional commitment to the candidate.

**Purpose of First Time Tenure Track Faculty Recruitment**

The aim is to recruit and support very promising emerging investigators, pursuing their first faculty appointment in Texas, who have the ability to make outstanding contributions to the field of cancer research.

**Funding levels for First Time Tenure Track Faculty Recruitment**

Up to \$2 million over a period of 4 years.

**Recommended Projects:**

Six candidates are being recommended for First-time Tenure Track Faculty Member Awards:

- 1 at The University of Texas Health Science Center at Houston:
- 2 at The University of Texas Southwestern Medical Center:
- 2 at The University of Texas M.D. Anderson Cancer Center and
- 1 at The University of Texas at Austin

Below is a listing of these candidates with their associated expertise. All have outstanding training and records of achievement and a strong commitment to cancer research.

**RR160082**

**Candidate:** Xiao-chen Bai, Ph.D.

**Applicant Organization:** The University of Texas Southwestern Medical Center

**Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:** 1.0

**Recommended Total Budget Award and Duration:** \$2,000,000.

**CPRIT Priorities addressed:** Enhance Texas' research capacity and life science infrastructure; Computational biology.

**Description:**

Xiao-chen Bai, Ph.D. is being recruited to UT Southwestern from the MRC in Cambridge, as a tenure-track Assistant Professor in the Departments of Biophysics and Cell Biology. During his graduate and postdoctoral training Dr. Bai developed new computational algorithms for the exploding field of Cryo-EM structural analysis and is an expert in this emerging field that promises to revolutionize the ability to analyze biomedical structures. Dr. Bai will benefit from UT Southwestern's recent \$17M investment in a state of the art cryoelectron microscopy facility and in turn, his expertise in will strengthen structural biology in Dallas and bring new computational talent to the field of cancer biology.

**RR160088**

**Candidate:** David Taylor, Ph.D.

**Applicant Organization:** The University of Texas at Austin

**Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:** 1.0

**Recommended Total Budget Award and Duration:** \$2,000,000.

**CPRIT Priorities addressed:** Enhance Texas' research capacity and life science infrastructure

**Description:**

David Taylor, Ph.D. is being recruited from the University of California at Berkeley to UT Austin as a first time tenure track Assistant Professor in the Department of Molecular Biosciences. Dr. Taylor received his Ph.D. from Yale University and as a postdoctoral fellow at the University of California at Berkeley won a prestigious fellowship from the Damon Runyon Cancer Research Foundation. During his training he used cryo-EM to provided fundamental insight into the mechanisms by which the CRISPR/Cas9 gene-editing complex works. At the University of Texas at Austin he plans to apply his expertise with cryo-electron microscopy to examine how DNA is modified and repaired in normal and cancer cells.

**RR160080**

**Candidate:** Esra Akbay, Ph.D.

**Applicant Organization:** The University of Texas Southwestern Medical Center

**Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:** 1.8

**Recommended Total Budget Award and Duration:** \$2,000,000.

**CPRIT Priorities addressed:** Enhance Texas' research capacity and life science infrastructure; Cancers of Importance to Texas- Lung cancer.

**Description:**

Esra Akbay, Ph.D. is being recruited as a First-Time Tenure-Track Faculty to the Department of Pathology at UT Southwestern from the Dana-Farber Cancer Institute/Harvard Medical School. Dr. Akbay is a highly productive cancer researcher who proposes timely work to study the role of oncogenic mutations in lung tumors and their relationship to the immune system.

**RR160096**

**Candidate:** Xin Ye, Ph.D.

**Applicant Organization:** The University of Texas M.D. Anderson Cancer Center

**Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:** 1.8

**Recommended Total Budget Award and Duration:** \$2,000,000.

**CPRIT Priorities addressed:** Enhance Texas' research capacity and life science infrastructure; Prevention.

**Description:**

Xin Ye, Ph.D. is being recruited as an Assistant Professor, Tenure-Track in the department of Clinical Cancer Prevention, Division of Cancer Prevention and Population Sciences at the University of Texas MD Anderson Cancer Center. Dr. Ye currently is a Postdoctoral Associate in the research group of Dr. Robert Weinberg at the Whitehead Institute for Biomedical Research and a Postdoctoral Fellow of the Helen Hay Whitney Foundation. Her work at the Whitehead Institute focuses on understanding how premalignant cells evolve to become invasive and metastatic and led to a first author publication in the journal Nature. Scientific Review Council members commented that the cancer relevance of her planned work is exceptional as is the environment at MD Anderson and that she is a truly outstanding recruit and is a great fit for the recruiting institution.

**RR160083**

**Candidate:** Wenbo Li, Ph.D.

**Applicant Organization:** The University of Texas Health Science Center at Houston

**Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:** 2.0

**Recommended Total Budget Award and Duration:** \$2,000,000.

**CPRIT Priorities addressed:** Enhance Texas' research capacity and life science infrastructure

**Description:**

Wenbo Li, PhD, is being recruited to the Department of Biochemistry and Molecular Biology, at the McGovern Medical School of the University of Texas Health Science Center at Houston as a First-Time Tenure-Track Faculty Member. Dr. Li is currently a postdoctoral fellow at the University of California, San Diego in the laboratory of M. Geoffrey Rosenfeld, M.D. where he

made important contributions to understanding the role for enhancer-derived long non-coding RNAs in the regulation of gene expression. He has received a National Cancer Institute Transition Career Development Award to continue this research with a focus on breast cancer gene transcription. CPRIT Scientific Review Council members commented that Dr. Li has extraordinary accomplishments, letters and his planned research has high cancer relevance.

**RR160097**

**Candidate:** Han Xu, Ph.D.

**Applicant Organization:** The University of Texas M.D. Anderson Cancer Center

**Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:**2.0

**Recommended Total Budget Award and Duration:** \$2,000,000.

**CPRIT Priorities addressed:** Enhance Texas' research capacity and life science infrastructure; Computational biology

**Description:**

Han Xu, Ph.D. is currently a post-doctoral fellow with Dr. Xiaole Liu at the Dana Farber Cancer Institute at Harvard Medical School. He is being recruited to the Science Park campus of the University of Texas MD Anderson Cancer Center as an Assistant Professor in the Department of Epigenetics and Molecular Carcinogenesis. Dr. Xu is an expert computational biologist with a long standing interest in developing innovative bioinformatics methods to define epigenetic networks that control cellular behavior. As a PhD student, Dr. Xu led the bioinformatics analysis in a landmark study to define the genomic distribution of 14 transcription factors in mouse embryonic stem cells. This work provided important insights to critical transcription factor and chromatin modification networks required for stem cell pluripotency and self-renewal. Dr. Xu has solid training and a mixture of academic and industry experience. He has an impressive CV with a mixture of high impact papers that span development and application of methods for analysis of big data. The candidate has contributed to the development of bioinformatic tools that have allowed interpretation of 'omics data and significantly enhanced our understanding of cancer.

Academic Research Program Priorities Addressed by Recommended Awards					
A broad range of innovative, investigator-initiated research projects	Prevention and early detection	Computational biology and analytic methods	Rare and intractable cancers, including childhood cancers	Population disparities and cancers of importance in Texas	Enhance Texas' Research capacity and life science infrastructure
	<p><b>\$2,000,000</b> <b>1 Project</b></p> <ul style="list-style-type: none"> <li>UTMDA RR160096 (\$2,000,000)</li> </ul>	<p><b>\$4,000,000</b> <b>2 Projects</b></p> <ul style="list-style-type: none"> <li>UTSW RR160082 (\$2,000,000)</li> <li>UTMDA RR160075 (\$2,000,000)</li> </ul>		<p><b>\$2,000,000</b> <b>1 Project</b></p> <ul style="list-style-type: none"> <li>UTSW RR160080 (\$2,000,000)</li> </ul>	<p><b>\$50,062,539</b> <b>14 Projects</b></p> <ul style="list-style-type: none"> <li>UTMDA RP170002 (\$6,000,000)</li> <li>Texas Tech HSC RP170003 (\$2,499,900)</li> <li>Baylor COM RP170005 (\$5,000,000)</li> <li>Scott &amp; White RP170006 (\$3,562,639)</li> <li>UTMDA RR160077 (\$6,000,000)</li> <li>UTSW RR160082 (\$2,000,000)</li> <li>UT at Austin RR160088 (\$2,000,000)</li> <li>UTSW RR160080 (\$2,000,000)</li> <li>UT HOUSTON RR160083 (\$2,000,000)</li> <li>UTMDA RR160089 (\$4,000,000)</li> <li>UTMDA RR160096 (\$2,000,000)</li> <li>UTMDA RR160097 (\$2,000,000)</li> <li>UTSW RR160101 (\$6,000,000)</li> <li>UT at Austin RR160093 (\$6,000,000)</li> </ul>

\*Some grants awards address more than one program priority and will be double counted.

## Research Summary

## Attachment #2

ACADEMIC RESEARCH SEPTEMBER 2016 FUNDING RECOMMENDATIONS							
Application Id	Award Mechanism	Score	PI	Application Title	PI Institution	Budget	Priorities Met
RP170005	CFSA-CR	1.8	Dean Edwards	Proteomics and Metabolomics Core Facility	Baylor College of Medicine	\$5,000,000	Infrastructure
RP170003	CFSA-CR	1.9	Richard Leff	North Texas Clinical Pharmacology Cancer Core	Texas Tech University HSC	\$2,499,900	Infrastructure
RP170002	CFSA-CR	2.0	Jianjun Shen	The University of Texas MD Anderson Science Park Next-Generation Sequencing Facility	The University of Texas M. D. Anderson	\$5,000,000	Infrastructure
RP170006	CFSA-CR	2.1	Jung Woo	Investigational New Drug Production Core Facility at Scott & White Cancer Research Institute	Scott & White Healthcare	\$3,562,639	Infrastructure
RR160077	REI (16.10)	1.0	Michael Clarke	Recruitment of Established Investigator- Michael F. Clarke, MD	The University of Texas M. D. Anderson	\$6,000,000	Infrastructure
RR160082	RFTFM (16.11)	1.0	Xiao-chen Bai	Nomination of Xiao-chen Bai, Ph.D. First-Time, Tenure-Track Faculty Member Award	The University of Texas Southwestern Medical Center	\$2,000,000	Infrastructure Computational Biology
RR160088	RFTFM (16.11)	1.0	David Taylor	Recruitment of First-Time, Tenure-Track Faculty Member - Dr. David Taylor	The University of Texas at Austin	\$2,000,000	Infrastructure
RR160080	RFTFM (16.11)	1.8	Esra Akbay	Nomination of Esra Akbay, Ph.D. for a First-Time, Tenure-Track Faculty Member Recruitment Award	The University of Texas Southwestern Medical Center	\$2,000,000	Infrastructure Lung Cancer
RR160083	RFTFM (16.11)	2.0	Wenbo Li	Recruitment of First-Time, Tenure-Track Faculty Members, Wenbo Li	The University of Texas HSC at Houston	\$2,000,000	Infrastructure
RR160089	RRS (16.11)	2.0	Robert Jeng	Recruitment of Rising Stars- Dr. Robert Jenq	The University of Texas M. D. Anderson	\$4,000,000	Infrastructure Computational Biology
RR160096	RFTFM (16.12)	1.8	Xin Ye	Recruitment of First-time, Tenure-Track Faculty - Dr. Xin Ye	The University of Texas M. D. Anderson	\$2,000,000	Infrastructure Prevention
RR160097	RFTFM (16.12)	2.0	Han Xu	Recruitment of First-time, Tenure-Track Faculty - Dr. Han Xu	The University of Texas M. D. Anderson	\$2,000,000	Infrastructure
RR160101	REI (16.12)	2.0	Guo-Min Li	Nomination of Guo-Min Li, Ph.D. for a CPRIT Established Investigator Award	The University of Texas Southwestern Medical Center	\$6,000,000	Infrastructure
RR160093	REI (16.12)	2.6	Gail Eckhardt	Nomination of Gail Eckhardt, MD as Inaugural Director of LiveStrong Cancer Institute at UT Austin Dell Medical School	The University of Texas at Austin	\$6,000,000	Infrastructure



**Attachment #3**  
RFA Descriptions

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

- **Core Facilities Support Awards (RFA R-17-CFSA-1: Competitive Renewal):**  
Supports applications from eligible organizations for Core Facility Support Awards to continue funding for existing core facilities that will directly support cancer research programs to advance knowledge of the causes, prevention, and/or treatment of cancer or improve quality of life for patients with and survivors of cancer. This competitive renewal RFA is open only to projects that were funded in 2012 pursuant to RFA R-12-CFSA-1 with an original contract end date of November 30, 2016.  
Award: The maximum duration for this award mechanism is 5 years. Eligible applicants may request up to the total amount that was originally awarded not to exceed \$5,000,000 in total costs
- **Recruitment of Established Investigators (RFA R-17-1 REI):**  
Recruits outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas.  
Award: Up to \$6 million over a period of five years.
- **Recruitment of Rising Stars (RFA R-17-1 RRS):**  
Recruits outstanding early-stage investigators to Texas, who have demonstrated the promise for continued and enhanced contributions to the field of cancer research.  
Award: Up to \$4 million over a period of five years.
- **Recruitment of First-Time Tenure Track Faculty Members (RFA R-17-1. RFT):**  
Supports very promising emerging investigators, pursuing their first faculty appointment in Texas, who have the ability to make outstanding contributions to the field of cancer research.  
Award: Up to \$2 million over a period of four years.

# PIC Chair Recommendation Letter

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS







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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

September 6, 2016

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding 14 grant applications totaling \$50,062,539. The PIC recommendations for 14 academic research grant awards are attached.

Dr. James Willson, CPRIT's Chief Scientific Officer, has prepared overviews of the academic research program slates to assist your evaluation of the recommended awards. The overviews are intended to provide a comprehensive summary with enough detail to understand the substance of the proposal and the reasons for endorsing grant funding. In addition to the full overviews, all of the information considered by the Review Council is available by clicking on the appropriate link in the portal. This information includes the application, peer reviewer critiques, and the CEO affidavit for each proposal.

*The SRC met in May, June, and July to review the ten recruitment applications that are recommended for awards. However, the SRC did not make its final decision on recruitment recommendations until September 1st. One of the Recruitment of Established Investigators recommendations recommended on September 1<sup>st</sup> comes from cycle 16.10. Five Recruitment of First-Time, Tenure-Track Faculty Members applications from Cycle 16.10 were recommended by the SRC and PIC in August 2016.*

The approval of these grant recommendations is governed by a statutory process that requires two-thirds of the members present and voting to approve each recommendation. Vince Burgess, CPRIT's Chief Compliance Officer, will certify the review process for the recommended grants prior to any Oversight Committee action.

The award recommendations will not be considered final until the Oversight Committee meeting on Wednesday, September 14, 2016. Consistent with the non-disclosure agreement that you have signed, the recommendations should be kept confidential and not be disclosed to anyone until the award list is publicly announced at the Oversight Committee meeting. I request that Oversight Committee members not print, email or save to your computer's hard drive any material on the portal. I appreciate your assistance to protect this information.

If you have any questions or would like more information on the review process or any of the projects recommended for an award, CPRIT's staff, including myself, Dr. Willson are available. Please feel free to contact us directly should you have any questions. The programs that will be supported by the CPRIT awards are an important step in our efforts to mitigate the effects of cancer in Texas. Thank you for being part of this endeavor.

Sincerely,  
Wayne R. Roberts  
Chief Executive Officer

## **Academic Research Award Recommendations –**

The PIC unanimously recommends approval of 14 academic research grant proposals totaling \$50,062,539. The recommended grant proposals were submitted in response to four grant mechanisms: Core Facility Support Awards-Competitive Renewal; Recruitment of First-Time, Tenure-Track Faculty Members; Recruitment of Rising Stars, and Recruitment of Established Investigators. The PIC followed the recommendations made by the Scientific Review Council (SRC). The SRC met on September 1, 2016, and provided the prioritized list of recommendations for the academic research awards to the presiding officers on September 2, 2016.

The PIC is required to give funding priority, to the extent possible, to applications that meet one or more criteria set forth in V.T.C.A., TEX. HEALTH & SAFETY CODE § 102.251(a)(2)(C). The PIC determined that these academic research proposals met the following CPRIT funding priorities:

- could lead to immediate or long-term medical and scientific breakthroughs in the area of cancer prevention or cures for cancer;
- strengthen and enhance fundamental science in cancer research;
- ensure a comprehensive coordinated approach to cancer research and cancer prevention;
- are interdisciplinary or interinstitutional;
- address federal or other major research sponsors' priorities in emerging scientific or technology fields in the area of cancer prevention or cures for cancer;
- are matched with funds available by a private or nonprofit entity and institution or institutions of higher education;
- are collaborative between any combination of private and nonprofit entities, public or private agencies or institutions in this state, and public or private institutions outside this state;
- have a demonstrable economic development benefit to this state;
- enhance research superiority at institutions of higher education in this state by creating new research superiority, attracting existing research superiority from institutions not located in this state and other research entities, or enhancing existing research superiority by attracting from outside this state additional researchers and resources;
- Expedite innovation and commercialization, attract, create, or expand private sector entities that will drive a substantial increase in high-quality jobs, and increase higher education applied science or Technology research capabilities; and
- Address the goals of the Texas Cancer Plan.

### Academic Research Grant Award Recommendations

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RP170005	Dean Edwards	CFSA-CR	Baylor College of Medicine	\$5,000,000	1.8
2	RP170003	Richard Leff	CFSA-CR	Texas Tech University Health Sciences Center	\$2,499,900	1.9
3	RP17002	Jianjun Shen	CFSA-CR	The University of Texas M.D. Anderson Cancer Center	\$5,000,000	2.0
4	RP170006	Jung Woo	CFSA-CR	Scott & White Healthcare	\$3,562,639	2.1

### Academic Research Recruitment Grant Award Recommendations Cycles 16.10-16.12

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR160077	Michael Clarke	REI	The University of Texas M.D. Anderson Cancer Center	\$6,000,000	1.00
2	RR160082	Bai Xiao-chen	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.00
3	RR160088	David Taylor	RFTFM	The University of Texas at Austin	\$2,000,000	1.00
4	RR160080	Esra Akbay	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.80
5	RR160096	Xin Ye	RFTFM	The University of Texas M.D. Anderson Cancer Center	\$2,000,000	1.80
6	RR160083	Li Wenbo	RFTFM	The University of Texas HSC at Houston	\$2,000,000	2.00

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
7	RR160089	Robert Jeng	RRS	The University of Texas M.D. Anderson Cancer Center	\$4,000,000	2.00
8	RR160097	Han Xu	RFTFM	The University of Texas M.D. Anderson Cancer Center	\$2,000,000	2.00
9	RR160101	Guo-Min Li	REI	The University of Texas Southwestern Medical Center	\$6,000,000	2.00
10	RR160093	Gail Eckhardt	REI	The University of Texas at Austin	\$6,000,000	2.60

\*REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members

# Compliance Certification – Chief Compliance Officer

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS





CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** VINCE BURGESS, CHIEF COMPLIANCE OFFICER  
**SUBJECT:** COMPLIANCE CERTIFICATION – SEPTEMBER 2016 AWARDS  
**DATE:** SEPTEMBER 7, 2016

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**Summary and Recommendation:**

As CPRIT's Chief Compliance Officer, I am responsible for reporting to the Oversight Committee regarding the agency's compliance with applicable statutory and administrative rule requirements during the grant review process. I have reviewed the compliance pedigrees for the grant applications submitted to CPRIT for the:

- Core Facility Support Awards – Competitive Renewal
- Recruitment of Established Investigators
- Recruitment of Rising Stars
- Recruitment of First-Time, Tenure-Track Faculty Members Awards

I have conferred with staff at CPRIT and SRA International (SRA), CPRIT's contracted third-party grant administrator, regarding the academic research awards and studied the supporting grant review documentation, including third-party observer reports for the peer review meetings. I am satisfied that the application review process that resulted in the above mechanisms recommended by the Program Integration Committee followed applicable laws and agency administrative rules. I certify these academic research award recommendations for the Oversight Committee's consideration.

**Background:**

CPRIT's Chief Compliance Officer must report to the Oversight Committee regarding compliance with the agency's statute and administrative rules. Among the Chief Compliance Officer's responsibilities is the obligation "to ensure that all grant proposals comply with this chapter and rules adopted under this chapter before the proposals are submitted to the oversight committee for approval." Texas Health & Safety Code § 102.051(c) and (d).

CPRIT uses a compliance pedigree to formally document compliance for the grant award process. The compliance pedigree tracks the grant application as it moves through the review



process and documents compliance with applicable laws and administrative rules. A compliance pedigree is created for each application; the information related to the procedural steps listed on the pedigree is entered and attested to by SRA employees and CPRIT employees. CPRIT relies on SRA to accurately record a majority of the information on the pedigree from the pre-receipt stage to final review council recommendation. To the greatest extent possible, information reported in the compliance pedigree is imported directly from data contained in CPRIT's Application Receipt System (CARS), the grant application database managed by SRA. This is done to minimize the opportunity for error caused by manual data entry.

### **No Prohibited Donations:**

Although CPRIT is statutorily authorized to accept gifts and grants pursuant to Texas Health & Safety Code § 102.054, the statute prohibits CPRIT from awarding a grant to an applicant who has made a gift or grant to CPRIT or a nonprofit organization established to provide support to CPRIT. I note that Texas Health & Safety Code § 102.251(a)(3) specifically addresses “donors from any nonprofit organization established to provide support to the institute compiled from information made available under § 102.262(c).” To the best of my knowledge, there are no nonprofit organizations that have been established to provide support to CPRIT on or after June 14, 2013, the effective date of this statutory change. The only nonprofit organization established to provide support to the Institute was the CPRIT Foundation. However, the CPRIT Foundation ceased operations and changed its name and its purpose prior to June 14, 2013. The Institute has received no donations from the CPRIT Foundation made on or after June 14, 2013.

*I have reviewed the list of donors to CPRIT maintained by CPRIT's accountant and compared the donors to the list of applicants. No donors to CPRIT have submitted applications for grant awards during the award cycles that are the subject of this report.*

### **Pre-Receipt Compliance:**

The activities listed on a compliance pedigree in the pre-receipt stage cover the period beginning with CPRIT's approval and issuance of the Request for Application (RFA) through the submission of grant applications. For the period covering these RFA's, CPRIT's administrative rules require that RFAs be publicly posted in the *Texas Register*. The RFA specifies a deadline and mandates that only those applications submitted electronically through CPRIT's Application Receipt System (CARS) are eligible for consideration. CARS blocks an application from being submitted once the deadline passes. Occasionally, an applicant may have technical difficulties that prevent the applicant from completing application submission. When this occurs, the applicant may appeal to CPRIT (through the CPRIT Helpdesk that is managed by SRA) to allow for a submission after the deadline. The program officer considers any appeals and may approve a late filing for good cause. When a late filing request is approved, the appellee is notified and CARS is reopened for a brief period – usually two to three hours – the next business day.

### Academic Research:

*For Cycles 16.11 and 16.12, three applications were received in response to the Recruitment of Established Investigators RFA, two applications were received in response to the Recruitment of Rising Stars RFA, and 12 applications were received in response to the Recruitment of First-Time, Tenure Track Faculty Members RFA. As noted in CPRIT's Chief Scientific Officer's award recommendations memo to the Oversight Committee dated August 3, 2016, the SRC did not make final award decisions for all grant applications in Cycle 16.10, 16.11, and 16.12 at that time. While the SRC recommended five awards from Cycle 16.10 for the August Program Integration Committee (PIC) meeting and the Oversight Committee approved those awards in August, one application in response to the Recruitment of Established Investigators RFA from Cycle 16.10 was recommended by the Scientific Review Council (SRC) at the September 1, 2016 meeting.*

*In response to the academic research, non-recruitment RFAs for Cycle 17.1, six applications were received in response to the Core Facilities Support Awards – Competitive Renewal RFA.*

*All of the Academic Research RFA's were posted in the Texas Register. All of the applicants registered through CARS and submitted applications by the deadline. No applicants requested an extension.*

### **Receipt, Referral, and Assignment Compliance:**

Once applications have been submitted through CARS, SRA staff reviews the applications for compliance with RFA directions. If an applicant does not comply with the directions, SRA notifies the program officer and the program officer makes the final decision to administratively withdraw the application. The peer review panel chair assigns applications to peer review primary reviewers. Prior to distribution of the applications, reviewers are given summary information about the applicant, including the Project Director and collaborators. Reviewers must sign a conflict of interest agreement and confirm that they do not have a conflict of interest with the application before they are provided with the full application.

*The pedigrees attest that a conflict of interest statement was signed by each primary reviewer for each grant application.*

### **Peer Review:**

Primary reviewers (typically three) must submit written critiques for each of their assigned applications prior to the peer review meeting. After the peer review meetings, a final score report from the review panel is delivered to the Review Council for additional review.

Following the peer review meetings, each participating peer reviewer must sign a post-review peer review statement certifying that the reviewer knew of and understood CPRIT's conflict of interest policy and followed the policy for this review process.

### Academic Research:

*For the Recruitment Awards, the applications are only reviewed by the Scientific Review Council (SRC), which assigns two members of the SRC to be primary reviewers. I reviewed the peer reviewer scores and supporting documentation, such as the sign-out sheets and post-review peer reviewer statements. Sign out sheets are used to document when a reviewer with a conflict of interest associated with a particular application leaves the room (or disengages from the conference call) during the discussion and scoring of the application. No conflicts interest were declared for the SRC meeting.*

*Academic Research applications (non-recruitment) are reviewed by peer review panels and recommended to the Scientific Review Council. As documented by SRA, reviewers with conflicts of interest did not participate in review of those applications. I reviewed supporting documentation, such as conflict of interest statements (COIs), third-party observer reports, and sign out sheets. All declared COIs left the room or disengaged from the conference call and did not participate in the discussion of relevant application(s).*

*I also reviewed and confirmed that the post review conflict of interest statements were signed by peer review members as well as the seven SRC members that attended the SRC meeting on September 1, 2016.*

### **Programmatic Review:**

Programmatic review is conducted by the Scientific Review Council (SRC), Prevention Review Council (PRC), and the Product Development Review Council (PDRC) for their respective awards. The Review Councils create the final list of grant applications it will recommend to the Program Integration Committee (PIC) for each grant award slate.

*To the extent that any Review Council member identified a conflict of interest, I reviewed documentation confirming that the Review Council member did not participate in the discussion or vote on the application(s).*

*I also reviewed the third-party observer reports for each review panel and Review Council meeting. The third-party observer reports document that the panel and Review Council discussions were limited to the merits of the applications and established evaluation criteria and that conflicted reviewers exited the room or the conference call when the application was discussed.*

*For the Academic Research awards, I reviewed and confirmed that the SRC recommendations corresponded to RFAs that have been released. I also confirmed that the pedigrees reflect the date of the SRC meeting that made the recommendations and that the applications were recommended by the SRC.*

Academic Research - Recruitment:

*Pursuant to 25 T.A.C. § 702.19, Wayne Roberts, Chief Executive Officer, granted Dr. Willson, Chief Scientific Officer, a waiver from the general prohibition against communicating with applicant institutions. The waiver allowed Dr. Willson to discuss with applicant institutions CPRIT's plan for reviewing recruitment applications submitted in April, May, or June of this year and projected timelines for final decisions. The time-sensitive nature of recruitment offers, especially during the traditional summer recruiting season, necessitates CPRIT feedback on the status of the pending applications. Dr. Willson has not and will not discuss the individual merits of the pending applications with applicant institutions. Notice of this waiver was sent to the Oversight Committee on June 27, 2016.*

**Program Integration Committee Review:**

Texas Health & Safety Code § 102.051(d) requires the Chief Compliance Officer to attend and observe the PIC meetings to ensure compliance with CPRIT's statute and administrative rules. CPRIT's statute requires that, at the time the PIC's final Grant Award recommendations are formally submitted to the Oversight Committee, the Chief Executive Officer shall prepare a written affidavit for each Grant Application recommended by the PIC containing relevant information related to the Grant Application recommendations.

*I attended the September 6, 2016, PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. The PIC considered 14 applications and voted to recommend all 14 applications to the Oversight Committee. A review of the CEO affidavits confirms that such affidavits were executed and provided for each Grant Application recommendation.*



# Academic Research Supporting Information

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## Items

Review Council Chairman Letter –

- Core Facility Support Awards-Competitive Renewal

Review Council Chairman Letter –

- Recruitment of First-Time, Tenure-Track Faculty Members
- Recruitment of Established Investigators
- Recruitment of Rising Stars

25 T.A.C. § 702.19 Waiver





Ludwig Institute for  
Cancer Research Ltd

Richard D. Kolodner  
Ph.D.

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September 2, 2016

Mr. Pete Geren  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [pgcpnit@sidrichardson.org](mailto:pgcpnit@sidrichardson.org)

Mr. Wayne R. Roberts  
Chief Executive Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cprnit.state.tx.us](mailto:wroberts@cprnit.state.tx.us)

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the **Core Facilities Support Awards – Competitive Renewal** grant mechanism. The SRC met on Thursday, September 1, 2016 to consider the applications recommended by the peer review panels following their meetings that were held March 9 – March 16, 2016. The applications on the attached list are numerically ranked in the order the SRC recommends the applications be funded.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$16,062,539.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.  
Chair, CPRIT Scientific Review Council

Attachment



Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RP170005	Dean Edwards	CFSA-CR	Baylor College of Medicine	\$5,000,000	1.8
2	RP170003	Richard Leff	CFSA-CR	Texas Tech University Health Sciences Center	\$2,499,900	1.9
3	RP17002	Jianjun Shen	CFSA-CR	The University of Texas M.D. Anderson Cancer Center	\$5,000,000	2.0
4	RP170006	Jung Woo	CFSA-CR	Scott & White Healthcare	\$3,562,639	2.1

**Ludwig Institute for  
Cancer Research Ltd**

**Richard D. Kolodner  
Ph.D.**

Director, San Diego Branch

Head, Laboratory of  
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September 1, 2016

Mr. Pete Geren  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [pgcpnit@sidrichardson.org](mailto:pgcpnit@sidrichardson.org)

Mr. Wayne R. Roberts  
Chief Executive Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cprnit.state.tx.us](mailto:wroberts@cprnit.state.tx.us)

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on Thursday, September 1, 2016 to consider the applications submitted to CPRIT under the Recruitment for First-Time Tenure Track Faculty Members, Recruitment of Rising Stars and Recruitment of Established Investigators requests for applications for Recruitment Cycle REC 16.10, 16.11 and 16.12.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for this cycle is \$34,000,000.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting candidates at all career levels that have demonstrated academic excellence, innovation, excellent training, a commitment to cancer research and exceptional potential for achieving future impact in basic, translational, population based or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.  
Chair, CPRIT Scientific Review Council

Attachment

**Research Supporting Information**

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR160077	Michael Clarke	REI	The University of Texas M.D. Anderson Cancer Center	\$6,000,000	1.00
2	RR160082	Bai Xiao-chen	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.00
3	RR160088	David Taylor	RFTFM	The University of Texas at Austin	\$2,000,000	1.00
4	RR160080	Esra Akbay	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.80
5	RR160096	Xin Ye	RFTFM	The University of Texas M.D. Anderson Cancer Center	\$2,000,000	1.80
6	RR160083	Li Wenbo	RFTFM	The University of Texas HSC at Houston	\$2,000,000	2.00
7	RR160089	Robert Jeng	RRS	The University of Texas M.D. Anderson Cancer Center	\$4,000,000	2.00
8	RR160097	Han Xu	RFTFM	The University of Texas M.D. Anderson Cancer Center	\$2,000,000	2.00
9	RR160101	Guo-Min Li	REI	The University of Texas Southwestern Medical Center	\$6,000,000	2.00
10	RR160093	Gail Eckhardt	REI	The University of Texas at Austin	\$6,000,000	2.60

\*REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER  
**CC:** VINCE BURGESS, CHIEF COMPLIANCE OFFICER  
**SUBJECT:** T.A.C. § 702.19 WAIVER  
**DATE:** JUNE 27, 2016

---

This is to notify the Oversight Committee that pursuant to the authority provided to the Chief Executive Officer in T.A.C. § 702.19(e), I grant Dr. Jim Willson, CPRIT's Chief Scientific Officer, a waiver from the general prohibition against communicating with applicant institutions submitting recruitment grant award applications to CPRIT between April - June. No Oversight Committee action is necessary regarding the waiver.

CPRIT administrative rule § 702.19 prohibits substantive communication between the grant applicant and a member of the peer review panel, the Program Integration Committee, or the Oversight Committee while the application is pending a final decision. The restriction on communication is one way that CPRIT prevents even the appearance of unequal treatment during the grant review process.

I approve Dr. Willson's communication waiver to allow discussions with applicant institutions about CPRIT's plan for reviewing recruitment applications submitted in April, May or June of this year and a projected timeline for final decisions. Due to limited grant funding available for the remainder of FY 2016, the Scientific Review Council (SRC) will not make final recommendations for recruitment applications undergoing SRC review in May – July until after September 1, the start of FY 2017. The time-sensitive nature of recruitment offers, especially during the traditional summer recruiting season, necessitates CPRIT feedback on the status of the pending applications. Dr. Willson has spoken with three applicant institutions regarding five pending recruitment applications (RR160075, RR160070, RR160078, RR160077, and RR160067). Dr. Willson has not and will not discuss the individual merits of the pending applications with applicant institutions.

This waiver will be part of the grant record for these applications. The waiver will be publicly available when the Oversight Committee considers the applications.



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2016—Cycles 16.10, 16.11, and 16.12**  
*Recruitment of Established Investigators*

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**REQUEST FOR APPLICATIONS**

**RFA R-16-REI-1**

**Recruitment of  
Established Investigators**

**Please also refer to the Instructions for Applicants document,  
which will be posted on June 22, 2015**

**Application Receipt Dates:**

June 22, 2015-June 20, 2016

**FY 2016**

Fiscal Year Award Period

September 1, 2015-August 31, 2016

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## **RFA VERSION HISTORY**

Rev 6/22/15 RFA release

Rev 9/11/15 Revised Section 5 – Eligibility

- Revised language to indicate that a candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council recommends the candidate for a recruitment award is not eligible for a recruitment award. Also clarification was added indicating that “if a position is offered to the candidate during the period following the Scientific Review Council’s recommendation but prior to the Oversight Committee’s final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.”

## **1. ABOUT CPRIT**

The state of Texas has established the Cancer Prevention and Research Institute of Texas (CPRIT), which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and in enhancing the potential for a medical or scientific breakthrough in the prevention of or cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the state of Texas; and
- Develop and implement the Texas Cancer Plan.

### **1.1. Research Program Priorities**

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure Development

## **2. RATIONALE**

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract world-class research scientists with distinguished professional careers to Texas universities and cancer research institutes to establish research programs that add research talent to the state. This award will support established academic leaders whose body of work has made an outstanding contribution to cancer research. Awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the state of Texas. The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer.

Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT's priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (<15,000 new cases per year), including Childhood, Adolescent and Young Adult Cancers; Population Disparities and Cancers of Particular Importance in Texas (e.g., liver, cervical and lung).

## **3. RECRUITMENT OBJECTIVES**

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the state of Texas. This award honors outstanding senior investigators with proven track records of research accomplishments combined with excellence in leadership and teaching. All candidates should be recognized research or clinical investigators, held in the highest esteem by professional colleagues nationally and internationally, whose contributions have had a significant influence on their discipline and, likely, beyond. They must have clearly established themselves as exemplary faculty members with exceptional accomplishments in teaching and advising and/or basic, translational, population-based, or clinical cancer research activities. It is expected that the candidate will contribute significantly to and have a major impact on the institution's overall cancer research initiative. Candidates will be leaders capable of initiating and developing creative ideas leading to novel solutions related to cancer detection,

diagnosis, and/or treatment. They are also expected to maintain and lead a strong research group and have a stellar, high-impact publication portfolio, as well as continue to secure external funding. Furthermore, recipients will lead and inspire undergraduate and graduate students interested in pursuing research careers and will engage in collegial and collaborative relationships with others within and beyond their traditional discipline in an effort to expand the boundaries of cancer research.

Funding will be given for exceptional candidates who will continue to develop new research methods and techniques in the life, population-based, physical, engineering, or computational sciences and apply them to solving outstanding problems in cancer research that have been inadequately addressed or for which there may be an absence of an established paradigm or technical framework. Ideal candidates will have specific expertise in cancer-related areas needed to address an institutional priority. Candidates should be at the career level of a full professor or equivalent. This funding mechanism considers expertise, accomplishments, and breadth of experience as vital metrics for guiding CPRIT's investment in that person's originality, insight, and potential for continued contribution. Relevance to cancer research and to CPRIT's priority areas are important evaluation criteria for CPRIT funding

Unless prohibited by policy, the institution is also expected to bestow on the newly recruited faculty member the prestigious title of "CPRIT Scholar in Cancer Research," and the faculty member should be strongly encouraged to use this title on letterhead, business cards, and other appropriate documents. The title is to be retained as long as the individual remains in Texas.

#### **4. FUNDING INFORMATION**

This is a 5-year award and is not renewable. Grant support will be awarded based upon the breadth and nature of the research program proposed. Grant funds of up to \$6 million (total costs) for the 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if

very well justified. **Grant funds may be used for salary support of this candidate but may not be used to construct or renovate laboratory space.** Consistent with the statutory mandate that the recipient institution demonstrate that it has funds equivalent to one-half of the total grant award amount dedicated to the individual recruited, a total institutional commitment of 50% of the total award will be required. The institutional commitment can be made on a year-by-year basis and may be fulfilled by demonstrating funds dedicated to salary support and endowment for the individual recruited as well as expenses for research support, laboratory renovation, and/or relocation to Texas. Grant funding from other sources that the recruited individual may bring with him or her to the institution may also be counted toward the amount necessary for the institutional commitment. No annual limit on the number of potential award recipients has been set.

**Note:** Depending on the availability of funds, nominations submitted in response to this RFA during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31) or in the first quarter of the next fiscal year (starting September 1).

## 5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made. There is no limit to the number of applications that an institution may submit during a review cycle.
- A candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council recommends the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not

necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's academic research program staff will notify the nominating institution of the Scientific Review Council's recommendation following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's recommendation but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.

- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching or administration are not eligible.
- At the time of the application, the candidate should hold an appointment at the rank of professor (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must not reside in Texas at the time the application is submitted.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT. Prior to final approval of an award, the candidate must provide the same certification.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member. Prior to final approval of an award, the candidate must provide the same certification.
- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in

a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application. Prior to final approval of an award, the candidate must provide the same certification.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [Section 10](#) and [Section 11](#). All statutory provisions and relevant administrative rules can be found at [www.cprit.state.tx.us](http://www.cprit.state.tx.us).

## **6. RESUBMISSION POLICY**

Resubmissions will not be accepted for the Recruitment of Established Investigators award mechanism. Any nomination for the Recruitment of Established Investigators that was previously submitted to CPRIT and reviewed but was not recommended for funding may not be resubmitted. If a nomination was administratively rejected prior to review, it can be resubmitted in the following cycles.

## **7. RESPONDING TO THIS RFA**

### **7.1. Application Submission Guidelines**

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is submitted.

Candidates must be nominated by the institution's president, provost, vice president for research, or appropriate dean. The individual submitting the application (nominator) must create a user account in the system to start and submit an application. Furthermore, the Authorized Signing

Official (ASO), who is the person authorized to sign and submit the application for the organization, and the Grants Contract/Office of Sponsored Projects Official, who is the individual who will manage the grant contract if an award is made, also must create a user account in CARS.

Applications will be accepted on a continuous basis throughout the remainder of FY16. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 p.m. on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 p.m. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

## **7.2. Application Components**

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [Section 5](#) will be administratively withdrawn without review.

### **7.2.1. Summary of Nomination (2,500 characters)**

Provide a brief summary of the nomination. Include the candidate's name, organization from which the candidate is being recruited, and also the department and/or entity within the nominator's organization where the candidate will hold the faculty position.

### **7.2.2. Institutional Commitment (3 pages)**

Describe the institutional commitment to the candidate, including total salary, institutional support of salary, endowment or other support, space, and all other agreements between the institution and the candidate. **The institutional commitment must state the total award amount requested.** Provide a brief job description for the candidate should recruitment be successful. This information should be supplied in the form of a letter signed by the applicant institution's president, provost, or appropriate dean.



The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas. The following guidelines should be used when outlining the institutional match in the letter. This information may be provided as part of paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

**Start-up Package:** Complete details including salary and fringe benefits, dedicated personnel, amounts for equipment and supplies, and/or infrastructure that will be offered to the candidate as part of the recruitment award.

**Endowment Equivalents:** The principal of an endowment may not be included as part of the institutional match, but endowment income over the lifetime of the award may be included.

**Rent:** Amount for recovery of occupying facility space (ie, "rent") is not a permitted institutional commitment item.

### **7.2.3. Letter of Support from Department Chair (1 page)**

Provide the letter of support from and signed by the chair of the department that the candidate is being recruited to. The following information should be included in the letter:

**Recruitment Activities:** The letter should provide a description of the recruitment activities, strategies, and priorities that have led to the nomination of this candidate.

**Caliber of Candidate:** The letter should include a description of the caliber of the candidate and justification of nomination of the candidate by the institution.

### **Description of Candidate Duties and Certification of 70% Time Commitment to Research.**

While scholars may engage in direct patient care activities and/or have some administrative or teaching duties, at least 70% of the candidate's time must be available for research. Breach of this requirement will constitute grounds for discontinuation of funding. The certification that 70% time will be spent on research must be included.

### **7.2.4. Curriculum Vitae (CV)**

Provide a complete CV and list of publications for the candidate.

### **7.2.5. Summary of Goals and Objectives**

List very broad goals and objectives to be achieved during this award. **This section must be completed by the candidate.**

### 7.2.6. Research (4 pages)

Summarize the key elements of the candidate's research accomplishments and provide an overview of the proposed research by outlining the background and rationale, hypotheses and aims, strategies, goals, and projected impact of the focus of the research program. Highlight the innovative aspects of this effort and place it into context with regard to what pressing problem in cancer will be addressed. **This section of the application must be prepared by the candidate. References cited in this section must be included within the stated page limit. Any appropriate citation format is acceptable; official journal abbreviations should be used.**

Candidates for CPRIT Scholar Awards must include the following signed statement at the end of this section. **Applications that do not contain this signed statement will be returned without review.**

"I understand that I do not need to have made a commitment to <*nominating institution*> before this application has been submitted. However, I also understand that only 1 Texas institution may nominate me for a CPRIT Recruitment Award, and this is the nomination that I have endorsed. Requests to change the recruiting institution during the recruitment process are inappropriate."

### 7.2.7. Publications

Provide the 5 most significant publications that have resulted from the candidate's research efforts. Publications should be uploaded as PDFs of full-text articles. Only articles that have been published or that have been accepted for publication ("in press") should be submitted.

### 7.2.8. Timeline (1 page)

Provide a general outline of anticipated major award outcomes to be tracked. Timelines will be reviewed during the evaluation of annual progress reports. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

### 7.2.9. Current and Pending Support

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted.

### 7.2.10. Research Environment (1 page)

Briefly describe the research environment available to support the candidate's research program, including core facilities, training programs, and collaborative opportunities.

### 7.2.11. Descriptive Biography (Up to 2 pages)

Provide a brief descriptive biography of the candidate, including his or her accomplishments, education and training, professional experience, awards and honors, publications relevant to cancer research, and a brief overview of the candidate's goals if selected to receive the award.

**This section of the application must be prepared by the candidate.** If the application is approved for funding, this section will be made publicly available on CPRIT's website.

Candidates are advised not to include information that they consider confidential or proprietary when preparing this section.

**Applications that are missing 1 or more of these components, exceed the specified page, word, or budget limits, or do not meet the eligibility requirements listed above will be administratively withdrawn without review.**

## 8. APPLICATION REVIEW

### 8.1. Review Process

All eligible applications will be evaluated and scored by the CPRIT Scientific Review Council using the criteria listed in this RFA. Applications may be submitted continuously in response to this RFA, but will generally be reviewed on a monthly basis by the CPRIT Scientific Review Council. Council members may seek additional ad hoc evaluations of candidates. Scientific Review Council members will discuss applications and provide an individual Overall Evaluation Score that conveys the members' recommendation related to the proposed recruitment.

Applications approved by Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, Chapter 703, Sections 703.6–703.8.

The decision of the Scientific Review Council not to recommend an application is final, and such applications may not be resubmitted for a recruitment award. Notification of review decisions are sent to the nominator.

## **8.2. Confidentiality of Review**

Each stage of application review is conducted confidentially, and all CPRIT Scientific Review Council members, Program Integration Committee members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Scientific Review Council members are non-Texas residents.

**By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT’s Administrative Rules, Chapter 703, Section 703.9.**

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant’s behalf) and the following individuals—an Oversight Committee member, a Program Integration Committee member, or a Scientific Review Council member. Applicants should note that the CPRIT Program Integration Committee comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

## **8.3. Review Criteria**

Applications will be assessed based on evaluation of the quality of the candidate and his or her potential for continued superb performance as a cancer researcher. Also of critical importance is

the strength of the institutional commitment to the candidate. Recruitment efforts are not likely to be successful unless there is a strong commitment from CPRIT and the host institution. It is not necessary that a candidate agree to accept the recruitment offer at the time an application is submitted. However, applicant institutions should have some reasonable expectation that recruitment will be successful if an award is granted by CPRIT.

Review criteria will focus on the overall impression of the candidate, his/her proposed research program, and his/her long-term contribution to and impact on the field of cancer research.

Questions to be considered by the reviewers are as follows:

**Quality of the Candidate:** Has the candidate made significant, transformative, and sustained contributions to basic, translational, clinical or population-based cancer research? Is the candidate an established and nationally and/or internationally recognized leader in the field? Has the candidate demonstrated excellence in leadership and teaching? Has the candidate provided mentorship, inspiration, and/or professional training opportunities to junior scientists and students? Does the candidate have a strong record of research funding? Does the candidate have a publication history in high-impact journals? Does the candidate show evidence of collaborative interaction with others?

**Scientific Merit of Proposed Research:** Is the research plan comprehensive and well thought out? Does the proposed research program demonstrate innovation, creativity, and feasibility? Will it expand the boundaries of cancer research beyond traditional methodology by incorporating novel and interdisciplinary techniques? Does the research program integrate with and/or increase collaborative research efforts and relationships at the nominating institution?

**Relevance of Candidate's Research:** Is the proposed research likely to have a significant impact on reducing the burden of cancer in the near term? Does the research contribute to basic, translational, clinical, or population-based cancer research?

**Research Environment:** Does the institution have the necessary facilities, expertise, and resources to support the candidate's research program? Is there evidence of strong institutional support? Will the candidate be free of major administrative/clinical responsibilities so that he or she can focus on maintaining and enhancing his or her research program?

## 9. KEY DATES

### RFA

RFA Release

June 22, 2015

### Application Receipt and Review Timeline

<b>Application Receipt System opens, 7 AM CT</b>	<b>Application Receipt</b>	<b>Anticipated Application Review</b>	<b>Application Closing Date</b>
June 22, 2015	Continuous	Monthly by the 15 <sup>th</sup> day of the month	June 20, 2016

## 10. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award.

CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in Chapter 701, Section 701.25.

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at [www.cprit.state.tx.us](http://www.cprit.state.tx.us).

Applicants are advised to review CPRIT's Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in Chapter 703, Sections 703.10, 703.12.

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, Chapter 703, Section 703.20.

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate. Continuation of funding is contingent upon the timely receipt of these reports. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of the award contract. Forms and instructions will be made available at [www.cprit.state.tx.us](http://www.cprit.state.tx.us).

## **11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS**

Texas law requires that prior to disbursement of CPRIT grant funds, the award recipient must demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award. The demonstration of available matching funds must be made at the time the award contract is executed and annually thereafter, not when the application is submitted. Grant applicants are advised to consult CPRIT's Administrative Rules, Chapter 703, Section 703.11 for specific requirements regarding the demonstration of available funding.

## **12. CONTACT INFORMATION**

### **12.1. HelpDesk**

HelpDesk support is available for questions regarding user registration and online submission of applications. Queries submitted via e-mail will be answered within 1 business day. HelpDesk staff members are not in a position to answer questions regarding scientific aspects of applications.

**Dates of operation:** June 22, 2015, onward (excluding public holidays)

**Hours of operation:** Monday, Tuesday, Thursday, Friday, 7 AM to 4 PM central time  
Wednesday, 8 AM to 4 PM central time

**Tel:** 866-941-7146

**E-mail:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

## **12.2. Scientific and Programmatic Questions**

Questions regarding the CPRIT Program, including questions regarding this or other funding opportunities, should be directed to the CPRIT Senior Program Manager for Research.

**Tel:** 512-305-8491

**E-mail:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

**Website:** [www.cprit.state.tx.us](http://www.cprit.state.tx.us)



# Third Party Observer Reports

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# CPRIT Recruitment Scientific Review Council Meeting Observation Report

Report #2016-05-26-RES

Program Name: Academic Research

Panel Name: FY16.10 Recruitment Review Panel

Panel Date: May 26, 2016

Report Date: June 3, 2016

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## Background

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on May 26, 2016.

## Panel Observation Objectives and Scope

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

## Observation Results Summary

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on May 26, 2016.

The independent observer noted the following during our observation:

- Ten applications were discussed within the Recruitment Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Six peer review panelists, two CPRIT staff members, and two SRA employees were present for the meeting.
- One conflict of interest were identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

## Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

# CPRIT Recruitment Scientific Review Council Meeting Observation Report

Report #2016-06-16-RES

Program Name: Academic Research

Panel Name: FY16.11 Recruitment Review Panel

Panel Date: June 16, 2016

Report Date: June 21, 2016

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## **Background**

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## **Introduction**

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on June 16, 2016.

## **Panel Observation Objectives and Scope**

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

### **Observation Results Summary**

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on June 16, 2016.

The independent observer noted the following during our observation:

- Seven applications were discussed within the Recruitment Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Five peer review panelists, two CPRIT staff members, and two SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

### **Disclaimer**

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

# CPRIT Recruitment Scientific Observation Report

Report #2016-07-14-RES

Program Name: Academic Research

Panel Name: FY16.12 Recruitment Review Panel

Panel Date: July 14, 2016

Report Date: July 25, 2016

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## Background

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on July 14, 2016.

## Panel Observation Objectives and Scope

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

## Observation Results Summary

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on July 14, 2016.

The independent observer noted the following during our observation:

- Eight applications were discussed within the Recruitment Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Six peer review panelists, two CPRIT staff members, and two SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. An application for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

## Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

# CPRIT Scientific Review Council Meeting Observation Report

Report #2016-09-01-RES

Program Name: Academic Research

Panel Name: Scientific Review Panel (FY16.10/11/12

Recruitment Review Panel & FY17.1 Core Facilities

Support – Competitive Renewal Review Panel)

Panel Date: September 1, 2016

Report Date: September 4, 2016

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## **Background**

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## **Introduction**

The subject of this report is the peer review of core facilities support – competitive renewal and recruitment applications for FY17 funding. The meeting was chaired by Richard Kolodner and held via teleconference on September 1, 2016.

## **Panel Observation Objectives and Scope**

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.



### **Observation Results Summary**

The independent observer participated in the peer review of core facilities support – competitive renewal and recruitment applications held via teleconference. The meeting was facilitated by SRA International, CPRIT’s contracted third-party grant application administrator, and chaired by Richard Kolodner on September 1, 2016.

The independent observer noted the following during our observation:

- Four core facilities support – competitive renewal applications and 10 recruitment applications were discussed within the Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Seven peer review panelists, two CPRIT staff members, and one SRA employee were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists’ discussions were limited to the application evaluation criteria.

### **Disclaimer**

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel’s discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

## **Noted Conflicts of Interest**

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**Conflict of Interest Disclosure**  
**Academic Research Recruitment Cycle 16.10-16.12**  
**(Academic Research Recruitment Cycle 16.10-12**  
**Awards Announced at September 14, 2016, Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycle 16.10 include *Recruitment of Established Investigators*; *Recruitment of Rising Stars*; and *Recruitment of First-Time, Tenure-Track Faculty Members*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee</b>			
RR160089	Dmitrovsky, Ethan	The University of Texas M.D. Anderson Cancer Center	O'Reilly, Richard
RR160101	Fitz, John	The University of Texas Southwestern Medical Center	Jones, Peter
<b>Applications not considered by the PIC or Oversight Committee</b>			
RR160074	Fitz, John	The University of Texas Southwestern Medical Center	Sellers, Thomas

## De-Identified Overall Evaluation Scores

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## Recruitment of Established Investigators

Academic Research Recruitment Cycles 16.10-16.12

Application ID	Final Overall Evaluation Score
RR160077*	1.0
RR160101*	2.0
RR160093*	2.6
aa	3.5
ab	3.5
ac	4.0
ad	5.0

\*=Recommended for funding

## **Final Overall Evaluation Scores and Rank Order Scores**

---

**Ludwig Institute for  
Cancer Research Ltd**

**Richard D. Kolodner  
Ph.D.**

Director, San Diego Branch

Head, Laboratory of  
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September 1, 2016

Mr. Pete Geren  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [pgcpnit@sidrichardson.org](mailto:pgcpnit@sidrichardson.org)

Mr. Wayne R. Roberts  
Chief Executive Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cprnit.state.tx.us](mailto:wroberts@cprnit.state.tx.us)

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on Thursday, September 1, 2016 to consider the applications submitted to CPRIT under the Recruitment for First-Time Tenure Track Faculty Members, Recruitment of Rising Stars and Recruitment of Established Investigators requests for applications for Recruitment Cycle REC 16.10, 16.11 and 16.12.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for this cycle is \$34,000,000.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting candidates at all career levels that have demonstrated academic excellence, innovation, excellent training, a commitment to cancer research and exceptional potential for achieving future impact in basic, translational, population based or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.  
Chair, CPRIT Scientific Review Council

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR160077	Michael Clarke	REI	The University of Texas M.D. Anderson Cancer Center	\$6,000,000	1.00
2	RR160082	Bai Xiao-chen	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.00
3	RR160088	David Taylor	RFTFM	The University of Texas at Austin	\$2,000,000	1.00
4	RR160080	Esra Akbay	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.80
5	RR160096	Xin Ye	RFTFM	The University of Texas M.D. Anderson Cancer Center	\$2,000,000	1.80
6	RR160083	Li Wenbo	RFTFM	The University of Texas HSC at Houston	\$2,000,000	2.00
7	RR160089	Robert Jeng	RRS	The University of Texas M.D. Anderson Cancer Center	\$4,000,000	2.00
8	RR160097	Han Xu	RFTFM	The University of Texas M.D. Anderson Cancer Center	\$2,000,000	2.00
9	RR160101	Guo-Min Li	REI	The University of Texas Southwestern Medical Center	\$6,000,000	2.00
10	RR160093	Gail Eckhardt	REI	The University of Texas at Austin	\$6,000,000	2.60

\*REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



**Ludwig Institute for  
Cancer Research Ltd**

**Richard D. Kolodner  
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Head, Laboratory of  
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May 26, 2016

Mr. Pete Geren  
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Via email to [pgcpnit@sidrichardson.org](mailto:pgcpnit@sidrichardson.org)

Mr. Wayne R. Roberts  
Chief Executive Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cprnit.state.tx.us](mailto:wroberts@cprnit.state.tx.us)

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on Thursday, May 26, 2016 to consider the applications submitted to CPRIT under the Recruitment for First-Time Tenure Track Faculty Members, Recruitment of Rising Stars and Recruitment of Established Investigators requests for applications for Recruitment Cycle REC 16.10. Please note that the SRC has not made final award decisions for all grant applications in Cycle 16.10. The SRC is aware that there are limited grant funds available for the remainder of FY 2016 and have put forward only those grant award recommendations that will meet but not exceed the funds available for FY 2016.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for this cycle is \$10,000,000.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting candidates at all career levels that have demonstrated academic excellence, innovation, excellent training, a commitment to cancer research and exceptional potential for achieving future impact in basic, translational, population based or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.  
Chair, CPRIT Scientific Review Council

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR 160078	Mazur, Pawel	RFTFM	The University of Texas M.D. Anderson Cancer Center	\$2,000,000	1.00
2	RR160075	Zang, Cheng-Zhong	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.00
3	RR160067	Kapoor, Prabodh	RFTFM	The University of Texas Health Center at Tyler	\$2,000,000	1.70
4	RR160070	Chaumeil, Myriam	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.00
5	RR160066	Nielsen, Alec	RFTFM	Rice University	\$2,000,000	2.00

\*RFTFM: Recruitment of First-Time Tenure Track Faculty Members



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2016—Cycles 16.10, 16.11, and 16.12**  
*Recruitment of First-Time,  
Tenure-Track Faculty Members*

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**REQUEST FOR APPLICATIONS**

**RFA R-16-RFT-1**

**Recruitment of First-Time  
Tenure-Track Faculty Members**

**Please also refer to the Instructions for Applicants document,  
which will be posted on June 22, 2015**

**Application Receipt Dates:**

June 22, 2015-June 20, 2016

**FY 2016**

Fiscal Year Award Period

September 1, 2015-August 31, 2016

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## **RFA VERSION HISTORY**

Rev 6/22/15 RFA release

Rev 9/11/15 Revised Section 5 – Eligibility

- Revised language to indicate that a candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council recommends the candidate for a recruitment award is not eligible for a recruitment award. Also clarification was added indicating that “if a position is offered to the candidate during the period following the Scientific Review Council’s recommendation but prior to the Oversight Committee’s final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.”

## **1. ABOUT CPRIT**

The state of Texas has established the Cancer Prevention and Research Institute of Texas (CPRIT), which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and in enhancing the potential for a medical or scientific breakthrough in the prevention of or cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the state of Texas; and
- Develop and implement the Texas Cancer Plan.

### **1.1. Research Program Priorities**

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure Development



## 2. RATIONALE

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract very promising investigators who are pursuing their first faculty appointment at the level of assistant professor (first-time, tenure-track faculty members). These individuals must have demonstrated academic excellence, innovation during predoctoral and/or postdoctoral research training, commitment to pursuing cancer research, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research. Awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the state of Texas.

The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer. Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT's priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (<15,000 new cases per year), including Childhood, Adolescent and Young Adult Cancers; Population Disparities and Cancers of Particular Importance in Texas (e.g., liver, cervical and lung).

## 3. RECRUITMENT OBJECTIVES

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the state of Texas. All candidates are expected to have completed their doctoral and fellowship training and to have clearly demonstrated truly superior ability as evidenced by their accomplishments during training, proposed research plan, publication record, and letters of recommendation. This CPRIT-supported initiative is designed to enhance innovative programs of excellence by providing research support for promising, early-stage investigators **seeking their first tenure-track position**. CPRIT will provide start-up funding for newly independent investigators, with the goal of augmenting and expanding the institution's efforts in cancer research. Candidates will be expected to develop research projects within the sponsoring institution. Projects should be appropriate for a newly independent investigator and

should foster the development of preliminary data that can be used to prepare applications for future independent research project grants to further both the investigator's research career and the CPRIT mission. The institution will be expected to work with each newly recruited research faculty member to design and execute a faculty career development plan consistent with his or her research emphasis. Relevance to cancer research and to CPRIT's priority areas are important evaluation criteria for CPRIT funding.

Unless prohibited by policy, the institution is also expected to bestow on the newly recruited faculty member the prestigious title of "CPRIT Scholar in Cancer Research," and the faculty member should be strongly encouraged to use this title on letterhead, business cards, and other appropriate documents. The title is to be retained as long as the individual remains in Texas.

#### **4. FUNDING INFORMATION**

This is a 4-year award and is not renewable, although individuals may apply for other future CPRIT funding as appropriate. Grant funds of up to \$2,000,000 (total costs) for the 4-year period may be requested. Funding is to be used by the candidate to support his or her research program. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 4 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified.

**Grant funds may not be used for salary support of this candidate or to construct or renovate laboratory space.** Consistent with the statutory mandate that the recipient institution demonstrate that it has funds equivalent to one-half of the total grant award amount dedicated to the individual recruited, a total institutional commitment of 50% of the total award will be required. The institutional commitment can be made on a year-by-year basis and may be fulfilled by demonstrating funds dedicated to salary support for the individual recruited as well as expenses for research support, laboratory renovation, and/or relocation to Texas. Grant funding from other sources that the recruited individual may bring with him or her to the institution may also be counted toward the amount necessary for the institutional commitment. No annual limit on the number of potential award recipients has been set.

**Note:** Depending on the availability of funds, nominations submitted in response to this RFA during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31) or in the first quarter of the next fiscal year (starting September 1).

## **5. ELIGIBILITY**

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made. There is no limit to the number of applications that an institution may submit during a review cycle.
- A candidate who has already accepted a position as assistant professor tenure track at the recruiting institution prior to the time that the Scientific Review Council recommends the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's academic research program staff will notify the nominating institution of the Scientific Review Council's recommendation following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's recommendation but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.
- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The

candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.

- At the time of the application, the candidate **must not** hold an appointment at the rank of assistant professor or above (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. Candidates holding non-tenure-track appointments at the rank of assistant professor are not eligible for this award. Examples of such appointments include Research Assistant Professor, Adjunct Research Assistant Professor, Assistant Professor (Non-Tenure Track), etc. The candidate may or may not reside in Texas at the time the application is submitted and may be nominated for a faculty position at the Texas institution where they are completing postdoctoral training.
- Successful candidates will be offered tenure-track academic positions at the rank of assistant professor.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT. Prior to final approval of an award, the candidate must provide the same certification.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member. Prior to final approval of an award, the candidate must provide the same certification.
- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date

of the grant application. Prior to final approval of an award, the candidate must provide the same certification.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [Section 10](#) and [Section 11](#). All statutory provisions and relevant administrative rules can be found at [www.cprit.state.tx.us](http://www.cprit.state.tx.us).

## 6. RESUBMISSION POLICY

Resubmissions will not be accepted for the Recruitment of First-Time, Tenure-Track Faculty Members award mechanism. Any nomination for the Recruitment of First-Time, Tenure-Track Faculty Members that was previously submitted to CPRIT and reviewed but was not recommended for funding may not be resubmitted. If a nomination was administratively rejected prior to review, it can be resubmitted in the following cycles.

## 7. RESPONDING TO THIS RFA

### 7.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is submitted. Candidates must be nominated by the institution's president, provost, vice president for research, or appropriate dean. The individual submitting the application (nominator) must create a user account in the system to start and submit an application. Furthermore, the Authorized Signing Official (ASO), who is the person authorized to sign and submit the application for the organization, and the Grants Contract/Office of Sponsored Projects Official, who is the individual who will manage the grant contract if an award is made, also must create a user account in CARS.

Applications will be accepted on a continuous basis throughout the remainder of FY16. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 p.m. on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 p.m. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

## **7.2. Application Components**

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [Section 5](#) will be administratively withdrawn without review.

### **7.2.1. Summary of Nomination (2,000 characters)**

Provide a brief summary of the nomination. Include the candidate's name, organization from which the candidate is being recruited, and also the department and/or entity within the nominator's organization where the candidate will hold the faculty position.

### **7.2.2. Institutional Commitment (3 pages)**

Describe the institutional commitment to the candidate, including total salary, institutional support of salary, endowment or other support, space, and all other agreements between the institution and the candidate. **The institutional commitment must state the total award amount requested.** Provide a brief job description for the candidate should recruitment be successful. This information should be supplied in the form of a letter signed by the applicant institution's president, provost, or appropriate dean. The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas. The following guidelines should be used when outlining the institutional match in the letter. This information may be provided as part of paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

**Start-up Package:** Complete details including salary and fringe benefits, dedicated personnel, amounts for equipment and supplies, and/or infrastructure that will be offered to the candidate as part of the recruitment award.

**Rent:** Amount for recovery of occupying facility space (ie, “rent”) is not a permitted institutional commitment item.

### **7.2.3. Letter of Support from Department Chair (1 page)**

Provide the letter of support from and signed by the chair of the department that the candidate is being recruited to. The following information should be included in the letter:

**Recruitment Activities:** The letter should provide a description of the recruitment activities, strategies, and priorities that have led to the nomination of this candidate.

**Caliber of Candidate:** The letter should include a description of the caliber of the candidate and justification of the nomination of the candidate by the institution.

#### **Description of Candidate Duties and Certification of 70% Time Commitment to Research.**

While scholars may engage in direct patient care activities and/or have some administrative or teaching duties, at least 70% of the candidate’s time must be available for research. Breach of this requirement will constitute grounds for discontinuation of funding. The certification that 70% time will be spent on research must be included.

The letter of support from the department chair must also do the following:

1. Describe how the candidate will be independent and autonomous in developing his or her research program at the institution;
2. Present a plan for mentoring that includes the design and execution of a faculty career development plan for the candidate.

### **7.2.4. Curriculum Vitae (CV)**

Provide a complete CV and list of publications for the candidate.

### **7.2.5. Summary of Goals and Objectives**

List very broad goals and objectives to be achieved during this award. **This section must be completed by the candidate.**

### 7.2.6. Research (4 pages)

Summarize the key elements of the candidate's research accomplishments and provide an overview of the proposed research by outlining the background and rationale, hypotheses and aims, strategies, goals, and projected impact of the focus of the research program. Highlight the innovative aspects of this effort and place it into context with regard to what pressing problem in cancer will be addressed. **This section of the application must be prepared by the candidate. References cited in this section must be included within the stated page limit. Any appropriate citation format is acceptable; official journal abbreviations should be used.**

Candidates for CPRIT Scholar Awards must include the following signed statement at the end of this section. **Applications that do not contain this signed statement will be returned without review.**

"I understand that I do not need to have made a commitment to <*nominating institution*> before this application has been submitted. However, I also understand that only 1 Texas institution may nominate me for a CPRIT Recruitment Award, and this is the nomination that I have endorsed. Requests to change the recruiting institution during the recruitment process are inappropriate."

### 7.2.7. Publications

Provide the 3 most significant publications that have resulted from the candidate's research efforts. Publications should be uploaded as PDFs of full-text articles. Only articles that have been published or that have been accepted for publication ("in press") should be submitted.

### 7.2.8. Timeline (1 page)

Provide a general outline of anticipated major award outcomes to be tracked. Timelines will be reviewed during the evaluation of annual progress reports. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

### 7.2.9. Current and Pending Support

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted.



### 7.2.10. Letters of Recommendation

Provide 3 letters of recommendation from individuals who are in a position to detail the candidate's academic and scientific research accomplishments, potential for high-impact research, and ability to make a significant contribution to the field of cancer research.

### 7.2.11. Research Environment (1 page)

Briefly describe the research environment available to support the candidate's research program, including core facilities, training programs, and collaborative opportunities.

### 7.2.12. Descriptive Biography (Up to 2 pages)

Provide a brief descriptive biography of the candidate, including his or her accomplishments, education and training, professional experience, awards and honors, publications relevant to cancer research, and a brief overview of the candidate's goals if selected to receive the award.

**This section of the application must be prepared by the candidate.** If the application is approved for funding, this section will be made publicly available on CPRIT's website.

Candidates are advised not to include information that they consider confidential or proprietary when preparing this section.

**Applications that are missing 1 or more of these components, exceed the specified page, word, or budget limits, or do not meet the eligibility requirements listed above will be administratively withdrawn without review.**

## 8. APPLICATION REVIEW

### 8.1. Review Process

All eligible applications will be evaluated and scored by the CPRIT Scientific Review Council using the criteria listed in this RFA. Applications may be submitted continuously in response to this RFA, but will generally be reviewed on a monthly basis by the CPRIT Scientific Review Council. Council members may seek additional ad hoc evaluations of candidates. Scientific Review Council members will discuss applications and provide an individual Overall Evaluation Score that conveys the members' recommendation related to the proposed recruitment. Applications approved by Council will be forwarded to the CPRIT Program Integration

Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, Chapter 703, Sections 703.6–703.8.

The decision of the Scientific Review Council not to recommend an application is final, and such applications may not be resubmitted for a recruitment award. Notification of review decisions are sent to the nominator.

### **8.1.1. Confidentiality of Review**

Each stage of application review is conducted confidentially, and all CPRIT Scientific Review Council members, Program Integration Committee members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Scientific Review Council members are non-Texas residents.

**By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT's Administrative Rules, Chapter 703, Section 703.9.**

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals—an Oversight Committee member, a Program Integration Committee member, or a Scientific Review Council member. Applicants should note that the CPRIT Program Integration Committee comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional,

serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

## **8.2. Review Criteria**

Applications will be assessed based on evaluation of the quality of the candidate and his or her potential for continued superb performance as a cancer researcher. Also of critical importance is the strength of the institutional commitment to the candidate. Recruitment efforts are not likely to be successful unless there is a strong commitment from both CPRIT and the host institution.

It is not necessary that a candidate agree to accept the recruitment offer at the time an application is submitted. However, applicant institutions should have some reasonable expectation that recruitment will be successful if an award is granted by CPRIT.

Review criteria will focus on the overall impression of the candidate, his or her proposed research program, and his or her long-term contribution to and impact on the field of cancer research. Questions to be considered by the reviewers are as follows:

**Quality of the Candidate:** Has the candidate demonstrated academic excellence? Has the candidate received excellent predoctoral and postdoctoral training? Does the candidate show exceptional potential for achieving future impact on basic, translational, clinical, or population-based cancer research in the future? Has the candidate demonstrated a commitment to cancer research? Has the candidate demonstrated independence or the potential for independence?

**Scientific Merit of Proposed Research:** Is the research plan comprehensive and well thought out? Does the proposed research program demonstrate innovation, creativity, and feasibility? Will it have a significant impact on the field of cancer research? Will the proposed research generate preliminary data that can be used for the preparation of applications for future independent research project grants?

**Relevance of Candidate's Research:** Is the proposed research likely to have a significant impact on reducing the burden of cancer in the near term? Does the research contribute to basic, translational, clinical, or population-based cancer research?

**Letters of Recommendation:** Do the letters of recommendation detail the candidate's academic and clinical research accomplishments, potential for high-impact research, and ability to make a significant contribution to the field of cancer research?

**Research Environment:** Does the institution have the necessary facilities, expertise, and resources to support the candidate’s research? Is there evidence of strong institutional support? Will the candidate be free of major administrative/clinical responsibilities so that he or she can focus on growing his or her research? Has the institution identified a mentor who will design and execute a faculty career development plan for the candidate?

## 9. KEY DATES

### RFA

RFA Release June 22, 2015

### Application Receipt and Review Timeline

Application Receipt System opens, 7 AM CT	Application Receipt	Anticipated Application Review	Application Closing Date
June 22, 2015	Continuous	Monthly by the 15 <sup>th</sup> day of the month	June 20, 2016

## 10. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT’s electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT’s electronic signature policy as set forth in Chapter 701, Section 701.25.

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT’s Administrative Rules, which are available at [www.cprit.state.tx.us](http://www.cprit.state.tx.us).

Applicants are advised to review CPRIT's Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in Chapter 703, Sections 703.10, 703.12.

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, Chapter 703, Section 703.20.

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate. Continuation of funding is contingent upon the timely receipt of these reports. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of the award contract. Forms and instructions will be made available at [www.cprit.state.tx.us](http://www.cprit.state.tx.us).

## **11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS**

Texas law requires that prior to disbursement of CPRIT grant funds, the award recipient must demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award. The demonstration of available matching funds must be made at the time the award contract is executed and annually thereafter, not when the application is submitted. Grant applicants are advised to consult CPRIT's Administrative Rules, Chapter 703, Section 703.11 for specific requirements regarding the demonstration of available funding.

## **12. CONTACT INFORMATION**

### **12.1. HelpDesk**

HelpDesk support is available for questions regarding user registration and online submission of applications. Queries submitted via e-mail will be answered within 1 business day. HelpDesk staff members are not in a position to answer questions regarding scientific aspects of applications.

**Dates of operation:** June 22, 2015 onward (excluding public holidays)

**Hours of operation:** Monday, Tuesday, Thursday, Friday, 7 a.m. to 4 p.m. central time  
Wednesday, 8 a.m. to 4 p.m. central time

**Tel:** 866-941-7146

**E-mail:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

### **12.2. Scientific and Programmatic Questions**

Questions regarding the CPRIT Program, including questions regarding this or other funding opportunities, should be directed to the CPRIT Senior Program Manager for Research.

**Tel:** 512-305-8491

**E-mail:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

**Website:** [www.cprit.state.tx.us](http://www.cprit.state.tx.us)

# Third Party Observer Reports

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# CPRIT Recruitment Scientific Review Council Meeting Observation Report

Report #2016-05-26-RES

Program Name: Academic Research

Panel Name: FY16.10 Recruitment Review Panel

Panel Date: May 26, 2016

Report Date: June 3, 2016

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## Background

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on May 26, 2016.

## Panel Observation Objectives and Scope

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.



## Observation Results Summary

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on May 26, 2016.

The independent observer noted the following during our observation:

- Ten applications were discussed within the Recruitment Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Six peer review panelists, two CPRIT staff members, and two SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

## Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

# CPRIT Recruitment Scientific Review Council Meeting Observation Report

Report #2016-06-16-RES

Program Name: Academic Research

Panel Name: FY16.11 Recruitment Review Panel

Panel Date: June 16, 2016

Report Date: June 21, 2016

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## **Background**

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## **Introduction**

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on June 16, 2016.

## **Panel Observation Objectives and Scope**

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

### **Observation Results Summary**

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on June 16, 2016.

The independent observer noted the following during our observation:

- Seven applications were discussed within the Recruitment Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Five peer review panelists, two CPRIT staff members, and two SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

### **Disclaimer**

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

# CPRIT Recruitment Scientific Observation Report

Report #2016-07-14-RES

Program Name: Academic Research

Panel Name: FY16.12 Recruitment Review Panel

Panel Date: July 14, 2016

Report Date: July 25, 2016

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## Background

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on July 14, 2016.

## Panel Observation Objectives and Scope

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

## Observation Results Summary

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on July 14, 2016.

The independent observer noted the following during our observation:

- Eight applications were discussed within the Recruitment Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Six peer review panelists, two CPRIT staff members, and two SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. An application for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

## Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

# CPRIT Scientific Review Council Meeting Observation Report

Report #2016-09-01-RES

Program Name: Academic Research

Panel Name: Scientific Review Panel (FY16.10/11/12

Recruitment Review Panel & FY17.1 Core Facilities

Support – Competitive Renewal Review Panel)

Panel Date: September 1, 2016

Report Date: September 4, 2016

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## **Background**

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## **Introduction**

The subject of this report is the peer review of core facilities support – competitive renewal and recruitment applications for FY17 funding. The meeting was chaired by Richard Kolodner and held via teleconference on September 1, 2016.

## **Panel Observation Objectives and Scope**

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

### **Observation Results Summary**

The independent observer participated in the peer review of core facilities support – competitive renewal and recruitment applications held via teleconference. The meeting was facilitated by SRA International, CPRIT’s contracted third-party grant application administrator, and chaired by Richard Kolodner on September 1, 2016.

The independent observer noted the following during our observation:

- Four core facilities support – competitive renewal applications and 10 recruitment applications were discussed within the Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Seven peer review panelists, two CPRIT staff members, and one SRA employee were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists’ discussions were limited to the application evaluation criteria.

### **Disclaimer**

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel’s discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

## **Noted Conflicts of Interest**

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**Conflict of Interest Disclosure**  
**Academic Research Recruitment Cycle 16.10-16.12**  
**(Academic Research Recruitment Cycle 16.10-12**  
**Awards Announced at September 14, 2016, Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycle 16.10 include *Recruitment of Established Investigators*; *Recruitment of Rising Stars*; and *Recruitment of First-Time, Tenure-Track Faculty Members*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee</b>			
RR160089	Dmitrovsky, Ethan	The University of Texas M.D. Anderson Cancer Center	O'Reilly, Richard
RR160101	Fitz, John	The University of Texas Southwestern Medical Center	Jones, Peter
<b>Applications not considered by the PIC or Oversight Committee</b>			
RR160074	Fitz, John	The University of Texas Southwestern Medical Center	Sellers, Thomas

## De-Identified Overall Evaluation Scores

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## Recruitment of First-Time, Tenure-Track Faculty Members

Academic Research Recruitment Cycles 16.10-16.12

Application ID	Final Overall Evaluation Score
RR160078*	1.0
RR160075*	1.0
RR160082*	1.0
RR160088*	1.0
RR160067*	1.7
RR160080*	1.8
RR160096*	1.8
RR160097*	2.0
RR160083*	2.0
RR160066*	2.0
RR160070*	2.0
ba	3.0
bb	3.0
bc	3.0
bd	3.3
be	3.3
bf	4.0
bg	4.0
bh	4.0
bi	4.0

RR160078, RR160075, RR160067, RR160070, and RR160066 were approved by the Oversight Committee on August 17, 2016.

\*=Recommended for funding

## **Final Overall Evaluation Scores and Rank Order Scores**

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**Ludwig Institute for  
Cancer Research Ltd**

**Richard D. Kolodner  
Ph.D.**

Director, San Diego Branch

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Distinguished Professor of  
Cellular & Molecular  
Medicine, University of  
California San Diego School  
of Medicine

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September 1, 2016

Mr. Pete Geren  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [pgcpnit@sidrichardson.org](mailto:pgcpnit@sidrichardson.org)

Mr. Wayne R. Roberts  
Chief Executive Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cprnit.state.tx.us](mailto:wroberts@cprnit.state.tx.us)

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on Thursday, September 1, 2016 to consider the applications submitted to CPRIT under the Recruitment for First-Time Tenure Track Faculty Members, Recruitment of Rising Stars and Recruitment of Established Investigators requests for applications for Recruitment Cycle REC 16.10, 16.11 and 16.12.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for this cycle is \$34,000,000.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting candidates at all career levels that have demonstrated academic excellence, innovation, excellent training, a commitment to cancer research and exceptional potential for achieving future impact in basic, translational, population based or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.  
Chair, CPRIT Scientific Review Council

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR160077	Michael Clarke	REI	The University of Texas M.D. Anderson Cancer Center	\$6,000,000	1.00
2	RR160082	Bai Xiao-chen	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.00
3	RR160088	David Taylor	RFTFM	The University of Texas at Austin	\$2,000,000	1.00
4	RR160080	Esra Akbay	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.80
5	RR160096	Xin Ye	RFTFM	The University of Texas M.D. Anderson Cancer Center	\$2,000,000	1.80
6	RR160083	Li Wenbo	RFTFM	The University of Texas HSC at Houston	\$2,000,000	2.00
7	RR160089	Robert Jeng	RRS	The University of Texas M.D. Anderson Cancer Center	\$4,000,000	2.00
8	RR160097	Han Xu	RFTFM	The University of Texas M.D. Anderson Cancer Center	\$2,000,000	2.00
9	RR160101	Guo-Min Li	REI	The University of Texas Southwestern Medical Center	\$6,000,000	2.00
10	RR160093	Gail Eckhardt	REI	The University of Texas at Austin	\$6,000,000	2.60

\*REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members

**Ludwig Institute for  
Cancer Research Ltd**

**Richard D. Kolodner  
Ph.D.**

Director, San Diego Branch

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Distinguished Professor of  
Cellular & Molecular  
Medicine, University of  
California San Diego School  
of Medicine

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La Jolla, CA 92093-0669

**T 858 534 7804  
F 858 534 7750**

May 26, 2016

Mr. Pete Geren  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [pgcpnit@sidrichardson.org](mailto:pgcpnit@sidrichardson.org)

Mr. Wayne R. Roberts  
Chief Executive Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cprnit.state.tx.us](mailto:wroberts@cprnit.state.tx.us)

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on Thursday, May 26, 2016 to consider the applications submitted to CPRIT under the Recruitment for First-Time Tenure Track Faculty Members, Recruitment of Rising Stars and Recruitment of Established Investigators requests for applications for Recruitment Cycle REC 16.10. Please note that the SRC has not made final award decisions for all grant applications in Cycle 16.10. The SRC is aware that there are limited grant funds available for the remainder of FY 2016 and have put forward only those grant award recommendations that will meet but not exceed the funds available for FY 2016.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for this cycle is \$10,000,000.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting candidates at all career levels that have demonstrated academic excellence, innovation, excellent training, a commitment to cancer research and exceptional potential for achieving future impact in basic, translational, population based or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.  
Chair, CPRIT Scientific Review Council

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR 160078	Mazur, Pawel	RFTFM	The University of Texas M.D. Anderson Cancer Center	\$2,000,000	1.00
2	RR160075	Zang, Cheng-Zhong	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.00
3	RR160067	Kapoor, Prabodh	RFTFM	The University of Texas Health Center at Tyler	\$2,000,000	1.70
4	RR160070	Chaumeil, Myriam	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.00
5	RR160066	Nielsen, Alec	RFTFM	Rice University	\$2,000,000	2.00

\*RFTFM: Recruitment of First-Time Tenure Track Faculty Members





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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2016—Cycles 16.10, 16.11, and 16.12**  
*Recruitment of Rising Stars*

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**REQUEST FOR APPLICATIONS**

**RFA R-16-RRS-1**

**Recruitment of Rising Stars**

**Please also refer to the Instructions for Applicants document,  
which will be posted on June 22, 2015**

**Application Receipt Dates:**

June 22, 2015-June 20, 2016

**FY 2016**

Fiscal Year Award Period

September 1, 2015-August 31, 2016

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## **RFA VERSION HISTORY**

Rev 6/22/15 RFA release

Rev 9/11/15 Revised Section 5 – Eligibility

- Revised language to indicate that a candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council recommends the candidate for a recruitment award is not eligible for a recruitment award. Also clarification was added indicating that “if a position is offered to the candidate during the period following the Scientific Review Council’s recommendation but prior to the Oversight Committee’s final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.”

# **1. ABOUT CPRIT**

The state of Texas has established the Cancer Prevention and Research Institute of Texas (CPRIT), which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and in enhancing the potential for a medical or scientific breakthrough in the prevention of or cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the state of Texas; and
- Develop and implement the Texas Cancer Plan.

## **1.1. Research Program Priorities**

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure Development

## **2. RATIONALE**

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract individuals whose work has outstanding merit, who show a marked capacity for self-direction, and who demonstrate the promise for continued and enhanced contributions to the field of cancer research (“Rising Stars”). Awards are intended to provide institutions with a competitive edge in recruiting the world’s best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the state of Texas. The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer. Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT’s priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (<15,000 new cases per year), including Childhood, Adolescent and Young Adult Cancers; Population Disparities and Cancers of Particular Importance in Texas (e.g., liver, cervical and lung).

## **3. RECRUITMENT OBJECTIVES**

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the state of Texas. Having already demonstrated extraordinary accomplishments during their initial years of independent research, Rising Stars represent a unique blend of scholastic aptitude, scientific rigor, and commitment to exploring transformational research through the development of creative ideas with high potential.

Candidates who have not historically worked in cancer research but are proposing creative hypotheses and research plans for this field are encouraged to apply. Similarly, candidates pursuing original and potentially high-impact basic science programs that have the potential to be translated toward clinical investigations or provide “proof of principle” are also encouraged to apply. It is expected that the candidate will contribute significantly to and have a major impact on the institution’s overall cancer research initiative. Funding will be given for exceptional candidates who will continue to develop new research methods and techniques in the life,

population-based, physical, engineering, or computational sciences and apply them to solving outstanding problems in cancer research that have been inadequately addressed or for which there may be an absence of an established paradigm or technical framework.

Ideal candidates will have specific expertise in cancer-related areas needed to address an institutional priority. Candidates are expected to be approximately at the career level of a late assistant/early associate professor or equivalent. This funding mechanism considers expertise, accomplishments, and breadth of experience vital metrics for guiding CPRIT's investment in that person's originality, insight, and potential for continued contribution. Relevance to cancer research and to CPRIT's priority areas are important evaluation criteria for CPRIT funding.

Unless prohibited by policy, the institution is also expected to bestow on the newly recruited faculty member the prestigious title of "CPRIT Scholar in Cancer Research," and the faculty member should be strongly encouraged to use this title on letterhead, business cards, and other appropriate documents. The title is to be retained as long as the individual remains in Texas.

#### **4. FUNDING INFORMATION**

This is a 5-year award and is not renewable. Grant funds of up to \$4,000,000 (total costs) over a 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. Annual allocations of this award are at the discretion of the awardee, as long as the total award does not exceed \$4,000,000. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified.

**Grant funds may be used for salary support of this candidate but may not be used to construct or renovate laboratory space.** Consistent with the statutory mandate that the recipient institution demonstrate that it has funds equivalent to one-half of the total grant award amount dedicated to the individual recruited, a total institutional commitment of 50% of the total award will be required. The institutional commitment can be made on a year-by-year basis and may be fulfilled by demonstrating funds dedicated to salary support and endowment for the



individual recruited as well as expenses for research support, laboratory renovation, and/or relocation to Texas. Grant funding from other sources that the recruited individual may bring with him or her to the institution may also be counted toward the amount necessary for the institutional commitment. No annual limit on the number of potential award recipients has been set.

**Note:** Depending on the availability of funds, nominations submitted in response to this RFA during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31) or in the first quarter of the next fiscal year (starting September 1).

## **5. ELIGIBILITY**

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made. There is no limit to the number of applications that an institution may submit during a review cycle.
- A candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council recommends the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's academic research program staff will notify the nominating institution of the Scientific Review Council's recommendation following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's recommendation

but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.

- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.
- At the time of the application, the candidate should hold an appointment at the rank of assistant or associate professor tenure-track or tenured (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must not reside in Texas at the time the application is submitted.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT. Prior to final approval of an award, the candidate must provide the same certification.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member. Prior to final approval of an award, the candidate must provide the same certification.
- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application. Prior to final approval of an award, the candidate must provide the same certification.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [Section 10](#) and [Section 11](#). All statutory provisions and relevant administrative rules can be found at [www.cprit.state.tx.us](http://www.cprit.state.tx.us).

## **6. RESUBMISSION POLICY**

Resubmissions will not be accepted for the Recruitment of Rising Stars award mechanism. Any nomination for the Recruitment of Rising Stars that was previously submitted to CPRIT and reviewed but was not recommended for funding may not be resubmitted. If a nomination was administratively rejected prior to review, it can be resubmitted in the following cycles.

## **7. RESPONDING TO THIS RFA**

### **7.1. Application Submission Guidelines**

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is submitted. Candidates must be nominated by the institution's president, provost, vice president for research, or appropriate dean. The individual submitting the application (nominator) must create a user account in the system to start and submit an application. Furthermore, the Authorized Signing Official (ASO), who is the person authorized to sign and submit the application for the organization, and the Grants Contract/Office of Sponsored Projects Official, who is the individual who will manage the grant contract if an award is made, also must create a user account in CARS.

Applications will be accepted on a continuous basis throughout the remainder of FY16. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 p.m. on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application

must be submitted on or before 11:59 p.m. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

## **7.2. Application Components**

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens.

Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [Section 5](#) will be administratively withdrawn without review.

### **7.2.1. Summary of Nomination (2,000 characters)**

Provide a brief summary of the nomination. Include the candidate's name, organization from which the candidate is being recruited, and also the department and/or entity within the nominator's organization where the candidate will hold the faculty position.

### **7.2.2. Institutional Commitment (2 pages)**

Describe the institutional commitment to the candidate, including total salary, institutional support of salary, endowment or other support, space, and all other agreements between the institution and the candidate. **The institutional commitment must state the total award amount requested.** Provide a brief job description for the candidate should recruitment be successful. This information should be supplied in the form of a letter signed by the applicant institution's president, provost, or appropriate dean.

The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas. The following guidelines should be used when outlining the institutional match in the letter. This information may be provided as part of paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

**Start-up Package:** Complete details including salary and fringe benefits, dedicated personnel, amounts for equipment and supplies, and/or infrastructure that will be offered to the candidate as part of the recruitment award.

**Endowment Equivalents:** The principal of an endowment may not be included as part of the institutional match, but endowment income over the lifetime of the award may be included.

**Rent:** Amount for recovery of occupying facility space (ie, “rent”) is not a permitted institutional commitment item.

### **7.2.3. Letter of Support from Department Chair (1 page)**

Provide the letter of support from and signed by the chair of the department that the candidate is being recruited to. The following information should be included in the letter:

**Recruitment Activities:** The letter should provide a description of the recruitment activities, strategies, and priorities that have led to the nomination of this candidate.

**Caliber of Candidate:** The letter should include a description of the caliber of the candidate and justification of the nomination of the candidate by the institution.

### **Description of Candidate Duties and Certification of 70% Time Commitment to Research.**

While scholars may engage in direct patient care activities and/or have some administrative or teaching duties, at least 70% of the candidate’s time must be available for research. Breach of this requirement will constitute grounds for discontinuation of funding. The certification that 70% time will be spent on research must be included.

### **7.2.4. Curriculum Vitae (CV)**

Provide a complete CV, and list of publications for the candidate.

### **7.2.5. Summary of Goals and Objectives**

List very broad goals and objectives to be achieved during this award. **This section must be completed by the candidate.**

### **7.2.6. Research (4 pages)**

Summarize the key elements of the candidate’s research accomplishments and provide an overview of the proposed research by outlining the background and rationale, hypotheses and aims, strategies, goals, and projected impact of the focus of the research program. Highlight the innovative aspects of this effort, and place it into context with regard to what pressing problem in cancer will be addressed. **This section of the application must be prepared by the candidate.**

**References cited in this section must be included within the stated page limit. Any appropriate citation format is acceptable; official journal abbreviations should be used.**

Candidates for CPRIT Scholar Awards must include the following signed statement at the end of this section. **Applications that do not contain this signed statement will be returned without review.** “I understand that I do not need to have made a commitment to *<nominating institution>* before this application has been submitted. However, I also understand that only 1 Texas institution may nominate me for a CPRIT Recruitment Award, and this is the nomination that I have endorsed. Requests to change the recruiting institution during the recruitment process are inappropriate.”

#### **7.2.7. Publications**

Provide the 5 most significant publications that have resulted from the candidate’s research efforts. Publications should be uploaded as PDFs of full-text articles. Only articles that have been published or that have been accepted for publication (“in press”) should be submitted.

#### **7.2.8. Timeline (1 page)**

Provide a general outline of anticipated major award outcomes to be tracked. Timelines will be reviewed during the evaluation of annual progress reports. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

#### **7.2.9. Current and Pending Support**

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted.

#### **7.2.10. Research Environment (1 page)**

Briefly describe the research environment available to support the candidate’s research program, including core facilities and training programs, and collaborative opportunities.

#### **7.2.11. Descriptive Biography (Up to 2 pages)**

Provide a brief descriptive biography of the candidate, including his or her accomplishments, education and training, professional experience, awards and honors, publications relevant to

cancer research, and a brief overview of the candidate's goals if selected to receive the award.

**This section of the application must be prepared by the candidate.** If the application is approved for funding, this section will be made publicly available on CPRIT's website.

Candidates are advised not to include information that they consider confidential or proprietary when preparing this section.

**Applications that are missing 1 or more of these components, exceed the specified page, word, or budget limits, or do not meet the eligibility requirements listed above will be administratively withdrawn without review.**

## **8. APPLICATION REVIEW**

### **8.1. Review Process**

All eligible applications will be evaluated and scored by the CPRIT Scientific Review Council using the criteria listed in this RFA. Applications may be submitted continuously in response to this RFA but will generally be reviewed on a monthly basis by the CPRIT Scientific Review Council. Council members may seek additional ad hoc evaluations of candidates. Scientific Review Council members will discuss applications and provide an individual Overall Evaluation Score that conveys the members' recommendation related to the proposed recruitment.

Applications approved by Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, Chapter 703, Sections 703.6–703.8.

The decision of the Scientific Review Council not to recommend an application is final, and such applications may not be resubmitted for a recruitment award. Notification of review decisions are sent to the nominator.

#### **8.1.1. Confidentiality of Review**

Each stage of application review is conducted confidentially, and all CPRIT Scientific Review Council members, Program Integration Committee members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign

nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Scientific Review Council members are non-Texas residents.

**By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT’s Administrative Rules, Chapter 703, Section 703.9.**

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant’s behalf) and the following individuals—an Oversight Committee member, a Program Integration Committee member, or a Scientific Review Council member. Applicants should note that the CPRIT Program Integration Committee comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

## **8.2. Review Criteria**

Applications will be assessed based on evaluation of the quality of the candidate and his or her potential for continued superb performance as a cancer researcher. Also of critical importance is the strength of the institutional commitment to the candidate. Recruitment efforts are not likely to be successful unless there is a strong commitment from CPRIT and the host institution. It is not necessary that a candidate agree to accept the recruitment offer at the time an application is submitted. However, applicant institutions should have some reasonable expectation that recruitment will be successful if an award is granted by CPRIT.



Review criteria will focus on the overall impression of the candidate, his/her proposed research program, and his/her long-term contribution to and impact on the field of cancer research.

Questions to be considered by the reviewers are as follows:

**Quality of the Candidate:** Has the candidate demonstrated extraordinary accomplishments during his or her initial years of independent research? Does the candidate show promise of making important contributions with significant impact to basic, translational, clinical, or population-based cancer research in the future? Has the candidate demonstrated strong self-direction, motivation, and commitment for transformative cancer research?

**Scientific Merit of Proposed Research:** Is the research plan comprehensive and well thought out? Does the proposed research program demonstrate innovation, creativity, and feasibility? Will it have a significant impact on the field of cancer research? Will it expand the boundaries of cancer research beyond traditional methodology by incorporating novel and interdisciplinary techniques?

**Relevance of Candidate's Research:** Is the proposed research likely to have a significant impact on reducing the burden of cancer in the near term? Does the research contribute to basic, translational, clinical, or population-based cancer research?

**Research Environment:** Does the institution have the necessary facilities, expertise, and resources to support the candidate's research? Is there evidence of strong institutional support? Will the candidate be free of major administrative/clinical responsibilities so that he or she can focus on maintaining and enhancing his or her research program? Will the candidate be provided with adequate professional development opportunities to grow as a leader?

## **9. KEY DATES**

### **RFA**

RFA Release

June 22, 2015

### **Application Receipt and Review Timeline**

<b>Application Receipt System opens, 7 AM CT</b>	<b>Application Receipt</b>	<b>Anticipated Application Review</b>	<b>Application Closing Date</b>
June 22, 2015	Continuous	Monthly by the 15 <sup>th</sup> day of the month	June 20, 2016

## **10. AWARD ADMINISTRATION**

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in Chapter 701, Section 701.25.

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at [www.cprit.state.tx.us](http://www.cprit.state.tx.us). Applicants are advised to review CPRIT's Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in Chapter 703, Sections 703.10, 703.12.

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, Chapter 703, Section 703.20.

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate. **Continuation of funding is contingent upon the timely receipt of these reports.** Failure to provide timely and complete reports may waive reimbursement of grant

award costs and may result in the termination of the award contract. Forms and instructions will be made available at [www.cprit.state.tx.us](http://www.cprit.state.tx.us).

## **11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS**

Texas law requires that prior to disbursement of CPRIT grant funds, the award recipient must demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award. The demonstration of available matching funds must be made at the time the award contract is executed and annually thereafter, not when the application is submitted. Grant applicants are advised to consult CPRIT's Administrative Rules, Chapter 703, Section 703.11 for specific requirements regarding the demonstration of available funding.

## **12. CONTACT INFORMATION**

### **12.1. HelpDesk**

HelpDesk support is available for questions regarding user registration and online submission of applications. Queries submitted via e-mail will be answered within 1 business day. HelpDesk staff members are not in a position to answer questions regarding scientific aspects of applications.

**Dates of operation:** June 22, 2015 onward (excluding public holidays)

**Hours of operation:** Monday, Tuesday, Thursday, Friday, 7 AM to 4 PM central time  
Wednesday, 8 AM to 4 PM central time

**Tel:** 866-941-7146

**E-mail:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

### **12.2. Scientific and Programmatic Questions**

Questions regarding the CPRIT Program, including questions regarding this or other funding opportunities, should be directed to the CPRIT Senior Program Manager for Research.

**Tel:** 512-305-8491  
**E-mail:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)  
**Website:** [www.cprit.state.tx.us](http://www.cprit.state.tx.us)

# Third Party Observer Reports

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# CPRIT Recruitment Scientific Review Council Meeting Observation Report

Report #2016-05-26-RES

Program Name: Academic Research

Panel Name: FY16.10 Recruitment Review Panel

Panel Date: May 26, 2016

Report Date: June 3, 2016

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## Background

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on May 26, 2016.

## Panel Observation Objectives and Scope

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

## Observation Results Summary

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on May 26, 2016.

The independent observer noted the following during our observation:

- Ten applications were discussed within the Recruitment Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Six peer review panelists, two CPRIT staff members, and two SRA employees were present for the meeting.
- One conflict of interest were identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

## Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

# CPRIT Recruitment Scientific Review Council Meeting Observation Report

Report #2016-06-16-RES

Program Name: Academic Research

Panel Name: FY16.11 Recruitment Review Panel

Panel Date: June 16, 2016

Report Date: June 21, 2016

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## **Background**

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## **Introduction**

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on June 16, 2016.

## **Panel Observation Objectives and Scope**

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.



### **Observation Results Summary**

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on June 16, 2016.

The independent observer noted the following during our observation:

- Seven applications were discussed within the Recruitment Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Five peer review panelists, two CPRIT staff members, and two SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

### **Disclaimer**

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

# CPRIT Recruitment Scientific Observation Report

Report #2016-07-14-RES

Program Name: Academic Research

Panel Name: FY16.12 Recruitment Review Panel

Panel Date: July 14, 2016

Report Date: July 25, 2016

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## Background

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on July 14, 2016.

## Panel Observation Objectives and Scope

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

## Observation Results Summary

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on July 14, 2016.

The independent observer noted the following during our observation:

- Eight applications were discussed within the Recruitment Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Six peer review panelists, two CPRIT staff members, and two SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. An application for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

## Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

# CPRIT Scientific Review Council Meeting Observation Report

Report #2016-09-01-RES

Program Name: Academic Research

Panel Name: Scientific Review Panel (FY16.10/11/12

Recruitment Review Panel & FY17.1 Core Facilities

Support – Competitive Renewal Review Panel)

Panel Date: September 1, 2016

Report Date: September 4, 2016

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## **Background**

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## **Introduction**

The subject of this report is the peer review of core facilities support – competitive renewal and recruitment applications for FY17 funding. The meeting was chaired by Richard Kolodner and held via teleconference on September 1, 2016.

## **Panel Observation Objectives and Scope**

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

### **Observation Results Summary**

The independent observer participated in the peer review of core facilities support – competitive renewal and recruitment applications held via teleconference. The meeting was facilitated by SRA International, CPRIT’s contracted third-party grant application administrator, and chaired by Richard Kolodner on September 1, 2016.

The independent observer noted the following during our observation:

- Four core facilities support – competitive renewal applications and 10 recruitment applications were discussed within the Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Seven peer review panelists, two CPRIT staff members, and one SRA employee were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists’ discussions were limited to the application evaluation criteria.

### **Disclaimer**

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel’s discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

## Noted Conflicts of Interest

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**Conflict of Interest Disclosure**  
**Academic Research Recruitment Cycle 16.10-16.12**  
**(Academic Research Recruitment Cycle 16.10-12**  
**Awards Announced at September 14, 2016, Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycle 16.10 include *Recruitment of Established Investigators*; *Recruitment of Rising Stars*; and *Recruitment of First-Time, Tenure-Track Faculty Members*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee</b>			
RR160089	Dmitrovsky, Ethan	The University of Texas M.D. Anderson Cancer Center	O'Reilly, Richard
RR160101	Fitz, John	The University of Texas Southwestern Medical Center	Jones, Peter
<b>Applications not considered by the PIC or Oversight Committee</b>			
RR160074	Fitz, John	The University of Texas Southwestern Medical Center	Sellers, Thomas

## De-Identified Overall Evaluation Scores

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## Recruitment of Rising Stars

Academic Research Recruitment Cycles 16.10-16.12

Application ID	Final Overall Evaluation Score
RR160089*	2.0
ca	3.0

\*=Recommended for funding

## **Final Overall Evaluation Scores and Rank Order Scores**

---

**Ludwig Institute for  
Cancer Research Ltd**

**Richard D. Kolodner  
Ph.D.**

Director, San Diego Branch

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Distinguished Professor of  
Cellular & Molecular  
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September 1, 2016

Mr. Pete Geren  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [pgcpnit@sidrichardson.org](mailto:pgcpnit@sidrichardson.org)

Mr. Wayne R. Roberts  
Chief Executive Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cprnit.state.tx.us](mailto:wroberts@cprnit.state.tx.us)

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on Thursday, September 1, 2016 to consider the applications submitted to CPRIT under the Recruitment for First-Time Tenure Track Faculty Members, Recruitment of Rising Stars and Recruitment of Established Investigators requests for applications for Recruitment Cycle REC 16.10, 16.11 and 16.12.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for this cycle is \$34,000,000.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting candidates at all career levels that have demonstrated academic excellence, innovation, excellent training, a commitment to cancer research and exceptional potential for achieving future impact in basic, translational, population based or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.  
Chair, CPRIT Scientific Review Council

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR160077	Michael Clarke	REI	The University of Texas M.D. Anderson Cancer Center	\$6,000,000	1.00
2	RR160082	Bai Xiao-chen	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.00
3	RR160088	David Taylor	RFTFM	The University of Texas at Austin	\$2,000,000	1.00
4	RR160080	Esra Akbay	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.80
5	RR160096	Xin Ye	RFTFM	The University of Texas M.D. Anderson Cancer Center	\$2,000,000	1.80
6	RR160083	Li Wenbo	RFTFM	The University of Texas HSC at Houston	\$2,000,000	2.00
7	RR160089	Robert Jeng	RRS	The University of Texas M.D. Anderson Cancer Center	\$4,000,000	2.00
8	RR160097	Han Xu	RFTFM	The University of Texas M.D. Anderson Cancer Center	\$2,000,000	2.00
9	RR160101	Guo-Min Li	REI	The University of Texas Southwestern Medical Center	\$6,000,000	2.00
10	RR160093	Gail Eckhardt	REI	The University of Texas at Austin	\$6,000,000	2.60

\*REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members

**Ludwig Institute for  
Cancer Research Ltd**

**Richard D. Kolodner  
Ph.D.**

Director, San Diego Branch

Head, Laboratory of  
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San Diego Branch

Distinguished Professor of  
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May 26, 2016

Mr. Pete Geren  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [pgcpnit@sidrichardson.org](mailto:pgcpnit@sidrichardson.org)

Mr. Wayne R. Roberts  
Chief Executive Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cprnit.state.tx.us](mailto:wroberts@cprnit.state.tx.us)

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on Thursday, May 26, 2016 to consider the applications submitted to CPRIT under the Recruitment for First-Time Tenure Track Faculty Members, Recruitment of Rising Stars and Recruitment of Established Investigators requests for applications for Recruitment Cycle REC 16.10. Please note that the SRC has not made final award decisions for all grant applications in Cycle 16.10. The SRC is aware that there are limited grant funds available for the remainder of FY 2016 and have put forward only those grant award recommendations that will meet but not exceed the funds available for FY 2016.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for this cycle is \$10,000,000.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting candidates at all career levels that have demonstrated academic excellence, innovation, excellent training, a commitment to cancer research and exceptional potential for achieving future impact in basic, translational, population based or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.  
Chair, CPRIT Scientific Review Council

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR 160078	Mazur, Pawel	RFTFM	The University of Texas M.D. Anderson Cancer Center	\$2,000,000	1.00
2	RR160075	Zang, Cheng-Zhong	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.00
3	RR160067	Kapoor, Prabodh	RFTFM	The University of Texas Health Center at Tyler	\$2,000,000	1.70
4	RR160070	Chaumeil, Myriam	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.00
5	RR160066	Nielsen, Alec	RFTFM	Rice University	\$2,000,000	2.00

\*RFTFM: Recruitment of First-Time Tenure Track Faculty Members



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2017—Cycle 1**  
*Core Facility Support Awards-Competitive Renewal*

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**REQUEST FOR APPLICATIONS**  
**RFA R-17-CFSA-1**

**Core Facilities Support Awards –  
Competitive Renewal**

Please also refer to the “Instructions for Applicants” document, which will  
be posted August 11, 2015.

**Application Receipt Opening Date:** August 11, 2015

**Application Receipt Closing Date:** October 13, 2015

**FY 2017**

Fiscal Year Award Period

September 1, 2016–August 31, 2017

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## **RFA VERSION HISTORY**

Rev 07/06/15 RFA release

## **1. ABOUT CPRIT**

The state of Texas has established the Cancer Prevention and Research Institute of Texas (CPRIT), which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and in enhancing the potential for a medical or scientific breakthrough in the prevention of or cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the state of Texas; and
- Develop and implement the Texas Cancer Plan.

### **1.1. Research Program Priorities**

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address the following:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure development

## **2. RATIONALE**

Core Facility Support Awards seek to facilitate the further development or improvement of core facilities that will provide valuable services to support and enhance scientifically meritorious cancer research projects. A user group of Texas-based investigators must be identified, each of

whom should have supported cancer research projects that will make use of the requested facility. This requirement is not intended to exclude early career-stage investigators who have not yet secured peer-reviewed grant support. Successful applicants should show that the proposed continuation of the program demonstrates a high likelihood of continued success based on initial results and outcomes of the project.

### **3. RESEARCH OBJECTIVES**

CPRIT will foster cancer research in Texas by providing financial support for a wide variety of projects relevant to cancer research. This RFA solicits applications from institutions to continue funding for existing core facilities that will directly support cancer research programs to advance knowledge of the causes, prevention, and/or treatment of cancer or improve quality of life for patients with and survivors of cancer.

CPRIT expects outcomes of supported activities to directly and indirectly benefit subsequent cancer research efforts, cancer public health policy, or the continuum of cancer care—from prevention to survivorship. To fulfill this vision, applications may address any topic or issue related to cancer biology, causation, prevention, detection or screening, treatment, cure, or quality of life. This award provides cancer researchers access to appropriate research infrastructure, instrumentation, and technical expertise necessary to achieve their research objectives. Funds may be requested to continue activities of an existing facility that directly supports and impacts cancer research programs at the institution and in the region.

### **4. FUNDING INFORMATION**

The maximum duration for this award mechanism is 5 years. Eligible applicants may request up to the total amount that was originally awarded not to exceed \$5,000,000 in total costs.

Exceptions to these limits may be granted, but only if exceptionally well justified. Allowable expenses include the cost of instruments (preferably expended in the first 2 years), installation and/or necessary renovation expenses in the first year (installation/renovation expenses not to exceed 10% of the total first-year request), and maintenance/service contracts.

Installation/renovation expenses can be requested in the first year only. Equipment should be purchased within the first 2 years. In addition, applicants may request salary support and fringe benefits for the facility director, data analysts, and technical staff; travel to scientific/technical meetings or collaborating institutions is also an allowable expense for these individuals. *All of these costs and expenses must be prorated for direct use in cancer research efforts.* Also

allowable are funds to support the use of the facility by qualified cancer research investigators for relevant projects (research supplies and services, clinical research costs, etc). Institutions must describe the process to be used to disburse funds to support use of the facility by cancer investigators. Finally, some fraction of available funds may be used by the facility director for development of new or improved approaches to technical challenges. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

## **5. ELIGIBILITY**

- This competitive renewal RFA is open only to projects that were funded in 2012 pursuant to RFA R-12-CFSA-1 with a contract end date of November 30, 2016.
- The Principal Investigator (PI) must be the director of the facility and must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and must reside in Texas during the time the research that is the subject of the grant is conducted. The PI should also hold a faculty position, preferably at the level of associate or full professor or the equivalent.
- This award must be directed by the PI. Co-PIs are not permitted.
- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Collaborators should have specific and well-defined roles. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the state of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds. In no event shall equipment purchased under this award leave the state of Texas.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.

- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds because of scientific misconduct or fraud or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at [www.cprit.state.tx.us](http://www.cprit.state.tx.us).

## **6. RESUBMISSION POLICY**

Resubmission applications will not be accepted in response to this RFA. Applications submitted previously under any CFSA RFA, but not funded, should be submitted in response to RFA R-16-CFSA-2.

## **7. RENEWAL POLICY**

Applicants preparing a renewal must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Publications and manuscripts in press that have resulted from work performed during the initial funded period should be listed in the renewal summary.

## 8. RESPONDING TO THIS RFA

### 8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The PI must create a user account in the system to start and submit an application. Furthermore, the Authorized Signing Official (ASO) (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on August 11, 2015, and must be submitted by 3 PM central time on October 13, 2015. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

#### 8.1.1. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT HelpDesk. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records. Please note that deadline extension requests are very rarely approved.

### 8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 5](#) will be administratively rejected without review.

#### 8.2.1. Abstract and Significance (5,000 characters)

Clearly explain the proposed program, including a summary of the facility to be used, an outline of the goals of the research projects that will be supported, and an overview of institutional infrastructure and commitment. The specific aims of the application must be obvious from the



abstract although they need not be restated verbatim from the Core Facility Plan. Clearly address how the proposed project, if successful, will have a major impact on cancer.

**Note:** It is the responsibility of the applicant to capture CPRIT’s attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem, that better diagnostic and therapeutic approaches are needed urgently, or that the type of cancer of interest to the PI is important, vexing, or deadly).

### **8.2.2. Layperson’s Summary (2,000 characters)**

Provide a layperson’s summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding.

Do not include any proprietary information in the Layperson’s Summary. The Layperson’s Summary will also be used by advocate reviewers ([section 9.1](#)) in evaluating the significance and impact of the proposed work.

### **8.2.3. Goals and Objectives**

List specific goals and objectives for each year of the project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success.

### **8.2.4. Timeline (1 page)**

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

### 8.2.5. Institutional Support (2 pages)

Each application must be accompanied by a letter of institutional support from the president or provost or equivalent indicating commitment to the program. Furthermore, the letter should indicate support of the facility for activities not related to cancer research. An additional letter should be submitted by the person to whom the facility director reports, ensuring that the facility will be operated in a superior fashion and discussing how this will be ascertained.

### 8.2.6. Renewal Summary (2 pages)

Applicants preparing a renewal must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Please provide a brief summary of the progress of the project, results obtained to date, problems/issues encountered and actions taken, and include information about any publications, patents, and/or economic impact. Information provided should be based around the stated specific aims and goals as set forth in the original Scope of Work as approved.

### 8.2.7. Core Facility Plan (5 pages)

**Background:** Present the rationale and need for the facility, emphasizing the pressing problems in cancer research that will be addressed.

**Instrument Details:** Provide details of the equipment/instruments, if any, that will be acquired.

**Technical Expertise:** Describe the qualifications of the facility director and other key personnel that make them suitable to oversee the establishment and operations of the facility.

**Administrative Plan:** Clearly describe the plan under which the operation, sharing, time allocation, and maintenance of the facility will be administered.

**Training Plan:** Describe the plan to train users to use the facility and also to evaluate the results obtained.

### 8.2.8. Vertebrate Animals and/or Human Subjects (1 page)

If vertebrate animals will be used, provide an outline of the appropriate protocols that will be followed. If human subjects or human biological samples will be used, provide a plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism.

### **8.2.9. Publications/References**

Provide a concise and relevant list of publications/references cited for the application.

### **8.2.10. Budget and Justification**

Provide a compelling justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. Applicants are advised not to interpret the maximum allowable request under this award as a suggestion that they should expand their anticipated budget to this level. Reasonable budgets clearly work in favor of the applicant.

However, if there is a highly specific and defensible need to request more than the maximum amount in any year(s) of the proposed budget, include a special and clearly labeled section in the budget justification that explains the request. Poorly justified requests of this type will likely have a negative impact on the overall evaluation of the application.

In preparing the requested budget, applicants should be aware of the following:

- Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at [www.cpritis.state.tx.us](http://www.cpritis.state.tx.us). So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2016 is \$200,000; CPRIT FY 2016 is from September 1, 2015, through August 31, 2016. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

### **8.2.11. User Group (8 pages)**

Provide concise descriptions of the research projects of major users of the facility. Provide a tabular summary of all users of the requested facility. List the names of all researchers, their academic appointment and affiliation, funded project title(s)/number(s) (wherever applicable), a brief description of the project(s), and approximate percentage use of the facility for direct use in cancer research efforts.

### **8.2.12. Biographical Sketches (2 pages each)**

The PI should provide a biographical sketch that describes his/her education and training, professional experience, awards and honors, and publications relevant to cancer research. A biographical sketch must be provided for the PI (as required by the online application receipt system). Up to 5 additional biographical sketches for key personnel from the user group may be provided. Each biographical sketch must not exceed 2 pages.

### **8.2.13. Current and Pending Support**

Describe the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project, and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI must be provided.

### **8.2.14. Institutional/Collaborator Support and/or Other Certification (4 pages)**

Applicants may provide letters of institutional support, collaborator support, and/or other certification documentation relevant to the proposed project. A maximum of 4 pages may be provided.

**Applications that are missing 1 or more of these components, exceed the specified page, word, or budget limits, or that do not meet the eligibility requirements listed above will be administratively rejected without review.**

## **9. APPLICATION REVIEW**

### **9.1. Review Process Overview**

All eligible applications will be evaluated using a 2-stage peer review process: (1) Peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council and CPRIT Program Integration Committee (PIC). In the first stage, applications will be evaluated by an

independent peer review panel consisting of scientific experts as well as advocate reviewers, using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council and CPRIT PIC based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by the Scientific Review Council will be forwarded to the CPRIT PIC for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

## **9.2. Confidentiality of Review**

Each stage of application review is conducted confidentially, and all CPRIT Scientific Peer Review Panel members, Scientific Review Council members, PIC members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Scientific Peer Review Panel members and Scientific Review Council members are non-Texas residents.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, chapter 703, section 703.9.**

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee Member, a PIC Member, a Scientific Review Panel member, or a Scientific Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the

Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when RFAs are announced and CARS opens. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

### 9.3. Review Criteria

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, listed below. Review committees will evaluate and score each primary criterion and subsequently assign a global score that reflects an overall assessment of the application. **The overall assessment will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application. Evaluation of the scientific merit of each application is within the sole discretion of the peer reviewers.**

#### 9.3.1. Primary Criteria

Primary criteria will evaluate the scientific merit and potential impact of the proposed work contained in the application. Concerns with any of these criteria potentially indicate a major flaw in the request for the instrument/equipment. Primary criteria include the following:

**Justification of Need/Value:** Is the need for the facility justified? Is it necessary and appropriate for the research projects? Will the state-of-the-art facility directly support and impact cancer research programs at the institution and in the region? How will the availability of the facility offer incipient research projects by investigators at various career stages the opportunity to develop? Will the facility make the user group more competitive for external funding?

**Quality and Significance of research projects supported:** Does the facility support a significant number of different, independently funded users? Are the projects at the forefront of cancer research? Are the projects of significance in reducing cancer incidence, morbidity, or mortality?

**Technical Expertise:** Is there sufficient technical expertise for optimal use of the facility? How well qualified is the user group to take optimal advantage of the facility and evaluate the research results for the proposed projects? How will the facility be maintained? Is there a satisfactory training plan for new users?

**Administration:** Is there assurance that the facility will be managed and operated in a superior fashion? To whom does the facility director report? Is that person committed to appropriate oversight (a letter of commitment should be submitted)? Is there an adequate plan for the management of the facility, including an appropriate system for charging for services and subsidy of user fees for specific cancer-related projects and individuals (especially early career–stage investigators)? How will facility time be allocated among the projects? Have biosafety issues been addressed? Are there criteria and is there a mechanism for prioritization of user requests? Are there appropriate advisory committees?

**Institutional Commitment:** Is there clear institutional commitment for support of the facility for cancer research and, if applicable, for noncancer research efforts as well? Has the host institution provided an appropriate site for the facility?

### 9.3.2. Secondary Criteria

Secondary criteria contribute to the global score assigned to the application. Concerns with these criteria potentially question the feasibility of the proposed project.

Secondary criteria include the following:

**Research Environment:** Does the team have the needed expertise and resources to accomplish all aspects of the project? Are the levels of effort of the key personnel appropriate? Is there evidence of institutional support for the project?

**Vertebrate Animals and/or Human Subjects:** If vertebrate animals and/or human subjects are included in the proposed research, certification of approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

**Budget:** Is the budget appropriate for the proposed work?

**Duration:** Is the stated duration appropriate for the proposed work?

## 10. KEY DATES

### RFA

RFA release	July 6, 2015
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### Application

Online application opens	August 11, 2015, 7 AM central time
Application due	October 13, 2015, 3 PM central time
Application review	November 2015 to March 2016

### Award

Award notification	May 2016
Anticipated start date	December 2016

## 11. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in chapter 701, section 701.25.

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at [www.cprit.state.tx.us](http://www.cprit.state.tx.us). Applicants are advised to review CPRIT's Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in chapter 703, sections 703.10, 703.12.

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, chapter 703, section 703.20.

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In



addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate. Continuation of funding is contingent upon the timely receipt of these reports. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of award contract. Forms and instructions will be made available at [www.cprit.state.tx.us](http://www.cprit.state.tx.us).

## **12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS**

Texas law requires that prior to disbursement of CPRIT grant funds, the award recipient must demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award. The demonstration of available matching funds must be made at the time the award contract is executed, and annually thereafter, not when the application is submitted. Grant applicants are advised to consult CPRIT's Administrative Rules, chapter 703, section 703.11, for specific requirements regarding demonstration of available funding.

## **13. CONTACT INFORMATION**

### **13.1. HelpDesk**

HelpDesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. HelpDesk staff are not in a position to answer questions regarding scientific aspects of applications.

**Hours of operation:** Monday, Tuesday, Thursday, Friday, 7 AM to 4 PM central time  
Wednesday, 8 AM to 4 PM central time

**Tel:** 866-941-7146

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

### **13.2. Scientific and Programmatic Questions**

Questions regarding the CPRIT program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Senior Manager for Research.

**Tel:** 512-305-8491

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

**Website:** [www.cprit.state.tx.us](http://www.cprit.state.tx.us)

# Third Party Observer Reports

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# CPRIT Research Peer Review Observation Report

Report #2016-03-14-RES

Program Name: Academic Research

Panel Name: FY16.2 Basic Cancer Research 1

Panel Date: March 14, 2016

Report Date: March 21, 2016

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## **Background**

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## **Introduction**

The subject of this report is the Basic Cancer Research 1 peer review of applications for FY16 funding. The meeting was chaired by Tom Curran and held at the Marriott Suites Medical/Market Center in Dallas TX on March 14, 2016.

## **Panel Observation Objectives and Scope**

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

### **Observation Results Summary**

The independent observer participated in the Basic Cancer Research 1 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Curran on March 14, 2016.

The independent observer noted the following during our observation:

- Seven applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Nineteen peer review panelists, two advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
  - Two of the nineteen peer review panelists participated via teleconference.
- Three conflicts of interest were identified prior to or during the meeting. None of the applications with conflicts were discussed during the peer review panel.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

### **Disclaimer**

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

# CPRIT Research Peer Review Observation Report

Report #2016-03-11-RES

Program Name: Academic Research

Panel Name: FY16.2 Imaging Technology and  
Informatics

Panel Date: March 11, 2016

Report Date: March 21, 2016

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## **Background**

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## **Introduction**

The subject of this report is the Imaging Technology and Informatics peer review of applications for FY16 funding. The meeting was chaired by Sam Gambhir and held at the Marriott Suites Medical/Market Center in Dallas, TX, on March 11, 2016.

## **Panel Observation Objectives and Scope**

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

## Observation Results Summary

The independent observer participated in the Imaging Technology and Informatics panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Sam Gambhir on March 11, 2016.

The independent observer noted the following during our observation:

- Twenty applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Nineteen peer review panelists, two advocate reviewers, three CPRIT staff members and six SRA employees were present for the meeting.
  - Two of the nineteen peer review panelists participated via teleconference.
- Three conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

## Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

# CPRIT Research Peer Review Observation Report

Report #2016-03-9/10-RES

Program Name: Academic Research

Panel Name: FY16.2 Clinical & Translational Cancer  
Research and Translational Cancer Research

Panel Date: March 9, 2016 to March 10, 2016

Report Date: March 21, 2016

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## **Background**

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## **Introduction**

The subject of this report is the Clinical & Translational Cancer Research and Translational Cancer Research peer review of applications for FY16 funding. The meeting was chaired by Margaret Tempero and held at the Marriott Suites Medical/Market Center in Dallas, TX, on March 9 through March 10, 2016.

## **Panel Observation Objectives and Scope**

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

## Observation Results Summary

The independent observer participated in the Clinical & Translational Cancer Research and Translational Cancer Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Margaret Tempero on March 9 through March 10, 2016.

The independent observer noted the following during our observation:

- Twenty applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Twenty-seven peer review panelists, three advocate reviewers, four CPRIT staff members and six SRA employees were present for the meeting on March 9, 2016. Twenty-nine peer review panelists, three advocate reviewers, four CPRIT staff members and six SRA employees were present for the meeting on March 10, 2016.
  - On the first day of the peer review panel, three of the twenty-seven peer review panelists participated via teleconference.
  - On the second day of the peer review panel, three of the twenty-nine peer review panelists participated via teleconference.
- Thirteen conflicts of interest were identified prior to or during the meeting. Applications for eight conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

## Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.



# CPRIT Research Peer Review Observation Report

Report #2016-03-09-RES

Program Name: Academic Research

Panel Name: FY16.2 Cancer Prevention Research

Panel Date: March 9, 2016

Report Date: March 18, 2016

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## **Background**

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## **Introduction**

The subject of this report is the Cancer Prevention Research peer review of applications for FY16 funding. The meeting was chaired by Tom Sellers and held via teleconference on March 9, 2016.

## **Panel Observation Objectives and Scope**

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

### **Observation Results Summary**

The independent observer participated in the Cancer Prevention Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Sellers on March 9, 2016.

The independent observer noted the following during our observation:

- Five applications were discussed within the Research Peer Review Meeting to determine which grants would receive CPRIT funding.
- Sixteen peer review panelists, two advocate reviewers, three CPRIT staff members and five SRA employees were present for the meeting.
- Two conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

### **Disclaimer**

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

# CPRIT Research Peer Review Observation Report

Report #2016-03-15-RES

Program Name: Academic Research

Panel Name: FY16.2 Cancer Biology

Panel Date: March 15, 2016

Report Date: March 21, 2016

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## **Background**

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## **Introduction**

The subject of this report is the Cancer Biology peer review of applications for FY16 funding. The meeting was chaired by Peter Jones and held at the Marriott Suites Medical/Market Center in Dallas TX on March 15, 2016.

## **Panel Observation Objectives and Scope**

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

## Observation Results Summary

The independent observer participated in the Cancer Biology panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Peter Jones on March 15, 2016.

The independent observer noted the following during our observation:

- Seventeen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Twenty peer review panelists, two advocate reviewers, three CPRIT staff members and six SRA employees were present for the meeting.
  - Six of the twenty peer review panelists participated via teleconference.
- Ten conflicts of interest were identified prior to or during the meeting. Applications for four conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

## Disclaimer

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.

# CPRIT Research Peer Review Observation Report

Report #2016-03-16-RES

Program Name: Academic Research

Panel Name: FY16.2 Basic Cancer Research 2

Panel Date: March 16, 2016

Report Date: March 25, 2016

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## **Background**

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## **Introduction**

The subject of this report is the Basic Cancer Research 2 peer review of applications for FY16 funding. The meeting was chaired by Carol Prives and held at the Marriott Suites Medical/Market Center in Dallas TX on March 16, 2016.

## **Panel Observation Objectives and Scope**

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

### **Observation Results Summary**

The independent observer participated in the Basic Cancer Research 2 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Carol Prives on March 16, 2016.

The independent observer noted the following during our observation:

- Nine applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Seventeen peer review panelists, two advocate reviewers, three CPRIT staff members and five SRA employees were present for the meeting.
- Three conflicts of interest were identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

### **Disclaimer**

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.



**Grant Thornton**

An instinct for growth™

# CPRIT Scientific Review Council Meeting Observation Report

Report #2016-09-01-RES

Program Name: Academic Research

Panel Name: Scientific Review Panel (FY16.10/11/12

Recruitment Review Panel & FY17.1 Core Facilities

Support – Competitive Renewal Review Panel)

Panel Date: September 1, 2016

Report Date: September 4, 2016

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## **Background**

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

## **Introduction**

The subject of this report is the peer review of core facilities support – competitive renewal and recruitment applications for FY17 funding. The meeting was chaired by Richard Kolodner and held via teleconference on September 1, 2016.

## **Panel Observation Objectives and Scope**

The third-party observation was limited to observing whether the following objectives were met:

- CPRIT's established procedures for panelists who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The peer review panel discussion is focused on the established scoring criteria.

### **Observation Results Summary**

The independent observer participated in the peer review of core facilities support – competitive renewal and recruitment applications held via teleconference. The meeting was facilitated by SRA International, CPRIT’s contracted third-party grant application administrator, and chaired by Richard Kolodner on September 1, 2016.

The independent observer noted the following during our observation:

- Four core facilities support – competitive renewal applications and 10 recruitment applications were discussed within the Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Seven peer review panelists, two CPRIT staff members, and one SRA employee were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists’ discussions were limited to the application evaluation criteria.

### **Disclaimer**

The third-party observation did not include the following:

- An evaluation of the appropriateness or rigor of the review panel’s discussion of scientific, technical or programmatic aspects of the applications.

The third party observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT and its management and its Oversight Committee members and is not intended to be and should not be used by anyone other than these specified parties.



## **Noted Conflicts of Interest**

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**Conflicts of Interest Disclosure**  
**Academic Research Cycle 16.2 and 17.1 Applications**  
**(Academic Research Cycle 16.2 Awards Announced at May 18, 2016, and August 17, 2016,**  
**Oversight Committee Meetings; Academic Research Cycle 17.1 Core Facility Support**  
**Awards- Competitive Renewal Announced at September 14, 2016 Oversight Committee**  
**Meeting )**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 16.2 include *High Impact/High Risk Research Awards*, *Core Facilities Support Awards*, *Core Facilities Support Awards-Competitive Renewal*, and *Multi-Investigator Research Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee</b>			
RP160657	Dalby, Kevin N	University of Texas at Austin	Angelou, Angelos
RP160704	Tucker, Haley O	University of Texas at Austin	Angelou, Angelos
RP160776	Schiavinato Eberlin, Livia	University of Texas at Austin	Angelou, Angelos
RP170003	Leff, Richard	Texas Tech University Health Sciences Center	Willson, James
<b>Applications not considered by the PIC or Oversight Committee</b>			
RP160703*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-AC*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-C1*	Hwang, Tae Hyun	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P1*	MacDonald, Raymond	The University of Texas Southwestern Medical Center	Prendergast, George

\* = Not discussed

Academic Research Cycle 16.2

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP160703-P2*	Wilkie, Thomas	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P3*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P4*	Boothman, David	The University of Texas Southwestern Medical Center	Prendergast, George
RP160767*	Ghosh, Rita	The University of Texas Health Science Center at San Antonio	Houchens, David
RP160768*	Srivenugopal, Kalkunte	Texas Tech University Health Sciences Center	Wang, Xiao-Fan
RP160774*	Li, Bing	The University of Texas Southwestern Medical Center	Petrini, John
RP160782*	Suh, Junghae	Rice University	Weitzman, Matthew
RP160835	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-AC	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-C1	Zong, Chenghang	Baylor College of Medicine	Petrini, John
RP160835-P1	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-P2	Miller, Kyle	The University of Texas at Austin	Petrini, John
RP160835-P3	Scott, Kenneth	Baylor College of Medicine	Petrini, John
RP160655*	Roth, Jack	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-AC*	Roth, Jack	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-C1*	Wang, Jing	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-P1*	Wu, Xifeng	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-P2*	Ji, Lin	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley

\* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160655-P3*	Calin, George	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160705*	Orlowski, Robert	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160739	Shi, Xiaobing	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160760*	Sikora, Andrew	Baylor College of Medicine	Costello, Joseph; Wahl, Geoffrey
RP160765	Gregory, Carl	Texas A&M University Health Science Center	Fearon, Eric; Lawlor, Elizabeth
RP160769	Zhang, Xiang	Baylor College of Medicine	Greene, Geoffrey
RP160840	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-AC	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-C1	Mancini, Michael	Baylor College of Medicine	Greene, Geoffrey
RP160840-C2	Farach-Carson, Mary	Rice University	Greene, Geoffrey
RP160840-P1	Zhang, Xiang	Baylor College of Medicine	Greene, Geoffrey
RP160840-P2	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-P3	Weigel, Nancy	Baylor College of Medicine	Greene, Geoffrey
RP160856	Kim, Jung-whan	The University of Texas at Dallas	Werb, Zena
RP160661	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-AC	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-C1	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P1	Yang, Ming	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P2	Jia, Xun	The University of Texas Southwestern Medical Center	Koong, Albert

\* = Not discussed

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP160661-P3	Shao, Yiping	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P4	Lu, Weigno	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P5	Wang, Jing	The University of Texas Southwestern Medical Center	Koong, Albert
RP160663*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-AC*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-C1*	Overwijk, Willem	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-C2*	Piwnica-Worms, David	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P1*	Liu, Jinsong	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P2*	Sood, Anil	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P3*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160672	Woodman, Scott	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160679*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-AC*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-C1*	Kapur, Payal	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-C2*	Xie, Xian-Jin	The University of Texas Southwestern Medical Center	Koong, Albert

\* = Not discussed

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP160679-C3*	Pedrosa, Ivan	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-P1*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-P2*	Timmerman, Robert	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-P3*	Mani, Ram	The University of Texas Southwestern Medical Center	Koong, Albert
RP160693	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-AC	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C1	Kornblau, Stephen	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C2	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C3	Do, Kim-Anh	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P1	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P2	Rezvani, Katy	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P3	Gottschalk, Stephen	Baylor College of Medicine	DePersio, John
RP160710	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-AC	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-C1	Moulder, Stacy	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna

\* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160710-C2	Davies, Peter	Texas A&M University Health Science Center Institute of Biosciences and Technolofy	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-C3	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-P1	Thompson, Alastarr	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-P2	Hong, Mien-Chie	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-P3	Mani, Sendurai	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160724*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-AC*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-C1*	Saha, Debabrata	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P1*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P2*	Aroumougame, Asaithamby	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P3*	Chen, Ping-Chi	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P4*	Hannan, Raquibul	The University of Texas Southwestern Medical Center	Koong, Albert
RP160745	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-AC	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-C1	Rosen, Daniel	Baylor Research Institute	Kast, W. Martin
RP160745-C2	Becnel, Lauren	Baylor Research Institute	Kast, W. Martin

\* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160745-P1	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-P2	Wheeler, David	Baylor Research Institute	Kast, W. Martin
RP160745-P3	Kang, Min	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160826	Fleming, Jason	The University of Texas M.D. Anderson Cancer Center	Prados, Michael
RP160843*	Chang, Jenny	The Methodist Hospital Research Institute	Curran, Walter
RP160864*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-AC*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-C1*	Liu, Xuewu	Houston Methodist	Riddell, Stanley
RP160864-C2*	Gee, Adrian	Baylor College of Medicine	Riddell, Stanley
RP160864-P1*	Shen, Haifa	Houston Methodist	Riddell, Stanley
RP160864-P2*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-P3*	Rooney, Cliona	Baylor College of Medicine	Riddell, Stanley
RP160697*	Kundra, Vikas	The University of Texas M.D. Anderson Cancer Center	Johnson, G. Allan
RP160702	Mancini, Michael	Texas A&M University System Health Science Center	Basillion, James
RP160718	Betancourt, Tania	Texas State University-San Marcos	Berbeen, Ross
RP16074	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-AC	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-C1	Elting, Linda	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-C2	Peterson, Susan	The University of Texas M.D. Anderson Cancer Center	Barlow, William

\* = Not discussed



<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP16074-C3	Kuo, Yong-Fang	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-P1	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-P2	Glordano, Sharon	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-P3	Smith, Benjamin	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-P4	Guadagnolo, Beverly	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP160735	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-AC	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-C1	Glickman, Randolph	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-C2	Tiziani, Stefano	The University of Texas at Austin	Barlow, William
RP160735-C3	Gelfond, Jonathan	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P1	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-P2	Slaga, Thomas	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P3	Kumar, Pratap	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P4	Thompson, Ian	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160674	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP160674-AC	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP160674-C1	Elting, Linda	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP160674-C2	Peterson, Susan	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP160674-C3	Kuo, Yong-Fang	The University of Texas Medical Branch at Galveston	Barlow, William
RP160674-P1	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP160674-P2	Giordano, Sharon	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP160674-P3	Smith, Benjamin	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP160674-P4	Guadagnolo, Beverly	The University of Texas M.D. Anderson Cancer Center	Barlow, William

## De-Identified Overall Evaluation Scores

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## Core Facilities Support Awards-Competitive Renewal

Academic Research Cycle 17.1

Application ID	Final Overall Evaluation Score
RP170005*	1.8
RP170003*	1.9
RP170002*	2.0
RP170006*	2.1
a	3.3
b	3.7

\*=Recommended for funding

## **Final Overall Evaluation Scores and Rank Order Scores**

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Ludwig Institute for  
Cancer Research Ltd

Richard D. Kolodner  
Ph.D.

Director, San Diego Branch

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Distinguished Professor of  
Cellular & Molecular  
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September 2, 2016

Mr. Pete Geren  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [pgcpnit@sidrichardson.org](mailto:pgcpnit@sidrichardson.org)

Mr. Wayne R. Roberts  
Chief Executive Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cprnit.state.tx.us](mailto:wroberts@cprnit.state.tx.us)

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the **Core Facilities Support Awards – Competitive Renewal** grant mechanism. The SRC met on Thursday, September 1, 2016 to consider the applications recommended by the peer review panels following their meetings that were held March 9 – March 16, 2016. The applications on the attached list are numerically ranked in the order the SRC recommends the applications be funded.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$16,062,539.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.  
Chair, CPRIT Scientific Review Council

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RP170005	Dean Edwards	CFSA-CR	Baylor College of Medicine	\$5,000,000	1.8
2	RP170003	Richard Leff	CFSA-CR	Texas Tech University Health Sciences Center	\$2,499,900	1.9
3	RP17002	Jianjun Shen	CFSA-CR	The University of Texas M.D. Anderson Cancer Center	\$5,000,000	2.0
4	RP170006	Jung Woo	CFSA-CR	Scott & White Healthcare	\$3,562,639	2.1



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP170002**  
**Core Facilities Support Awards—Competitive Renewal**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Core Facilities Support Awards-Competitive Renewal* Request for Applications (RFA). CPRIT received six applications for this RFA. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

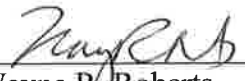
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- The de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle



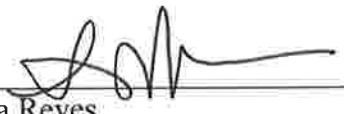
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.  
This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6th day of September, 2016,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Sandra Reyes  
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS  
APPLICATION PEDIGREE

FY 2017  
CYCLE 1  
PROGRAM Research  
AWARD MECHANISM Core Facility Support Awards-Competitive Renewal (CFSA-CR)  
APPLICATION ID RP170002  
APPLICATION TITLE The University of Texas MD Anderson Cancer Center Science Park  
Next-Generation Sequencing Facility  
APPLICANT NAME Shen, Jianjun  
ORGANIZATION The University of Texas M. D. Anderson Cancer Center  
PANEL NAME 16.2 Basic Cancer Research-1 (16.2 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	09/06/16
	RFA published in Texas Register	07/24/15	09/06/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/09/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/09/16
	Date application submitted	10/08/15	04/09/16
	Method of submission	CARS	04/09/16
	Within receipt period	YES	04/09/16
	Request for extension to submit application after CARS closed	N/A	04/09/16
	Request for extension for late application submission accepted	N/A	04/09/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/09/16
	Donation(s) made to CPRIT/foundation	NO	04/09/16
	Assigned to primary reviewers	N/A	04/09/16
	Applicant notified of review panel assignment	11/25/15	04/09/16
	Primary Reviewer 1 COI signed	N/A	04/09/16
	Primary Reviewer 2 COI signed	N/A	04/09/16
	Primary Reviewer 3 COI signed	N/A	04/09/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/09/16
	Primary Reviewer 1 critique submitted	N/A	04/09/16
	Primary Reviewer 2 critique submitted	N/A	04/09/16
	Primary Reviewer 3 critique submitted	N/A	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/09/16
	COI indicated by non-primary reviewer	N/A	04/09/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/09/16
	Recommended for full review	N/A	04/09/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	04/09/16
	Assigned to primary reviewers	12/20/15	04/09/16
	Primary Reviewer 1 COI signed	11/19/15	04/09/16
	Primary Reviewer 2 COI signed	11/20/15	04/09/16
	Primary Reviewer 3 COI signed	11/19/15	04/09/16
	Primary (Advocate) Reviewer 4 COI signed	11/12/15	04/09/16
	Primary Reviewer 1 critique submitted	01/31/16	04/09/16
	Primary Reviewer 2 critique submitted	01/12/16	04/09/16
	Primary Reviewer 3 critique submitted	02/12/16	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	01/22/16	04/09/16
	COI indicated by non-primary reviewer	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
	Discussed at Peer Review Meeting	YES	04/09/16
	Peer Review Meeting	03/14/16	04/09/16
	Post review statements signed	03/23/16	04/09/16
	Third Party Observer Report	03/21/16	04/09/16
	Score report delivered to CSO	03/28/16	04/09/16
	Recommended for SRC Review	YES	04/09/16
5. Final SRC Recommendation	COI indicated by SRC member	NONE	09/02/16
	COI recused from participation	N/A	09/02/16
	SRC Meeting	09/01/16	09/02/16
	Third Party Observer Report	09/04/16	09/06/16
	Recommended for grant award	YES	09/02/16
6. PIC Review	SRC Chair Notification to PIC and OC	09/02/16	09/02/16
	COI indicated by PIC member	NONE	09/06/16
	COI recused from participation	N/A	09/06/16
	PIC review meeting	09/06/16	09/06/16
7. Oversight Committee Approval	Recommended for grant award	YES	09/06/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	09/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP170003**  
**Core Facilities Support Awards—Competitive Renewal**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).


My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Core Facilities Support Awards-Competitive Renewal* Request for Applications (RFA). CPRIT received six applications for this RFA. This application was assigned to the Clinical and Translational Cancer Research and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- The de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

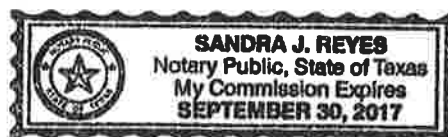
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6<sup>th</sup> day of September, 2016,  
by WAYNE R. ROBERTS.

  
Sandra Reyes  
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS  
APPLICATION PEDIGREE

FY 2017  
CYCLE 1  
PROGRAM Research  
AWARD MECHANISM Core Facility Support Awards-Competitive Renewal (CFSA-CR)  
APPLICATION ID RP170003  
APPLICATION TITLE North Texas Clinical Pharmacology Cancer Core  
APPLICANT NAME Leff, Richard  
ORGANIZATION Texas Tech University Health Sciences Center  
PANEL NAME 16.2 Clinical / Translational Cancer Research (16.2 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	09/06/16
	RFA published in Texas Register	07/24/15	09/06/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/11/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/11/16
	Date application submitted	09/25/15	04/11/16
	Method of submission	CARS	04/11/16
	Within receipt period	YES	04/11/16
	Request for extension to submit application after CARS closed	N/A	04/11/16
	Request for extension for late application submission accepted	N/A	04/11/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/11/16
	Donation(s) made to CPRIT/foundation	NO	04/11/16
	Assigned to primary reviewers	N/A	04/11/16
	Applicant notified of review panel assignment	11/25/15	04/11/16
	Primary Reviewer 1 COI signed	N/A	04/11/16
	Primary Reviewer 2 COI signed	N/A	04/11/16
	Primary Reviewer 3 COI signed	N/A	04/11/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/11/16
	Primary Reviewer 1 critique submitted	N/A	04/11/16
	Primary Reviewer 2 critique submitted	N/A	04/11/16
	Primary Reviewer 3 critique submitted	N/A	04/11/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/11/16
	COI indicated by non-primary reviewer	N/A	04/11/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/11/16
	Recommended for full review	N/A	04/11/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	04/11/16
	Assigned to primary reviewers	01/19/16	04/11/16
	Primary Reviewer 1 COI signed	12/08/15	04/11/16
	Primary Reviewer 2 COI signed	12/08/15	04/11/16
	Primary Reviewer 3 COI signed	11/25/15	04/11/16
	Primary (Advocate) Reviewer 4 COI signed	11/09/15	04/11/16
	Primary Reviewer 1 critique submitted	03/09/16	04/11/16
	Primary Reviewer 2 critique submitted	02/26/16	04/11/16
	Primary Reviewer 3 critique submitted	03/03/16	04/11/16
	Primary (Advocate) Reviewer 4 critique submitted	02/26/16	04/11/16
	COI indicated by non-primary reviewer	NONE	04/11/16
	COI recused from participation	N/A	04/11/16
	Discussed at Peer Review Meeting	YES	04/11/16
	Peer Review Meeting	03/09/16-03/10/16	04/11/16
	Post review statements signed	03/28/16	04/11/16
	Third Party Observer Report	03/21/16	04/11/16
	Score report delivered to CSO	03/28/16	04/11/16
5. Final SRC Recommendation	Recommended for SRC Review	YES	04/11/16
	COI indicated by SRC member	NONE	09/02/16
	COI recused from participation	N/A	09/02/16
	SRC Meeting	09/01/16	09/02/16
	Third Party Observer Report	09/04/16	09/06/16
	Recommended for grant award	YES	09/02/16
6. PIC Review	SRC Chair Notification to PIC and OC	09/02/16	09/02/16
	COI indicated by PIC member	J. Willson	09/06/16
	COI recused from participation	YES	09/06/16
	PIC review meeting	09/06/16	09/06/16
7. Oversight Committee Approval	Recommended for grant award	YES	09/06/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	09/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.





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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP170005**  
**Core Facilities Support Awards—Competitive Renewal**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).


My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Core Facilities Support Awards-Competitive Renewal* Request for Applications (RFA). CPRIT received six applications for this RFA. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- The de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

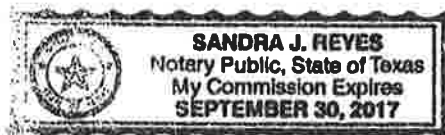
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.  
This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6<sup>th</sup> day of September, 2016,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Sandra Reyes  
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS  
APPLICATION PEDIGREE

FY 2017  
CYCLE 1  
PROGRAM Research  
AWARD MECHANISM Core Facility Support Awards-Competitive Renewal (CFSA-CR)  
APPLICATION ID RP170005  
APPLICATION TITLE Proteomics and Metabolomics Core Facility  
APPLICANT NAME Edwards, Dean  
ORGANIZATION Baylor College of Medicine  
PANEL NAME 16.2 Imaging Technology and Informatics (16.2 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	09/06/16
	RFA published in Texas Register	07/24/15	09/06/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/07/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/07/16
	Date application submitted	10/12/15	04/07/16
	Method of submission	CARS	04/07/16
	Within receipt period	YES	04/07/16
	Request for extension to submit application after CARS closed	N/A	04/07/16
	Request for extension for late application submission accepted	N/A	04/07/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/07/16
	Donation(s) made to CPRIT/foundation	NO	04/07/16
	Assigned to primary reviewers	N/A	04/07/16
	Applicant notified of review panel assignment	11/25/15	04/07/16
	Primary Reviewer 1 COI signed	N/A	04/07/16
	Primary Reviewer 2 COI signed	N/A	04/07/16
	Primary Reviewer 3 COI signed	N/A	04/07/16
	Primary (Advocate) Reviewer 4 COI signed	N/A	04/07/16
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	N/A	04/07/16
	Primary Reviewer 2 critique submitted	N/A	04/07/16
	Primary Reviewer 3 critique submitted	N/A	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/07/16
	COI indicated by non-primary reviewer	N/A	04/07/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/07/16
	Recommended for full review	N/A	04/07/16
	Applicant notified of outcome	N/A	04/07/16
4. Peer Review Meeting	Assigned to primary reviewers	12/21/15	04/07/16
	Primary Reviewer 1 COI signed	11/23/15	04/07/16
	Primary Reviewer 2 COI signed	12/10/15	04/07/16
	Primary Reviewer 3 COI signed	11/23/15	04/07/16
	Primary (Advocate) Reviewer 4 COI signed	11/20/15	04/07/16
	Primary Reviewer 1 critique submitted	03/02/16	04/07/16
	Primary Reviewer 2 critique submitted	03/02/16	04/07/16
	Primary Reviewer 3 critique submitted	03/02/16	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	03/03/16	04/07/16
	COI indicated by non-primary reviewer	NONE	04/07/16
	COI recused from participation	N/A	04/07/16
	Discussed at Peer Review Meeting	YES	04/07/16
	Peer Review Meeting	03/11/16	04/07/16
	Post review statements signed	03/12/16	04/07/16
	Third Party Observer Report	03/21/16	04/12/16
	Score report delivered to CSO	03/28/16	04/07/16
5. Final SRC Recommendation	Recommended for SRC Review	YES	04/07/16
	COI indicated by SRC member	NONE	09/02/16
	COI recused from participation	N/A	09/02/16
	SRC Meeting	09/01/16	09/02/16
	Third Party Observer Report	09/04/16	09/06/16
	Recommended for grant award	YES	09/02/16
6. PIC Review	SRC Chair Notification to PIC and OC	09/02/16	09/02/16
	COI indicated by PIC member	NONE	09/06/16
	COI recused from participation	N/A	09/06/16
	PIC review meeting	09/06/16	09/06/16
7. Oversight Committee Approval	Recommended for grant award	YES	09/06/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	09/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.





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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP170006**  
**Core Facilities Support Awards—Competitive Renewal**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

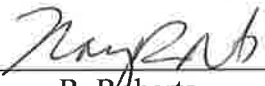
My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Core Facilities Support Awards-Competitive Renewal* Request for Applications (RFA). CPRIT received six applications for this RFA. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

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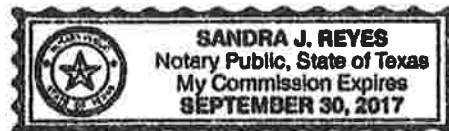
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.  
This statement is true."

  
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CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6<sup>th</sup> day of September, 2016,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Sandra Reyes  
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017  
 CYCLE 1  
 PROGRAM Research  
 AWARD MECHANISM Core Facility Support Awards-Competitive Renewal (CFSA-CR)  
 APPLICATION ID RP170006  
 APPLICATION TITLE Investigational New Drug Production Core Facility at Scott and White Cancer Research Institute  
 APPLICANT NAME Woo, Jung  
 ORGANIZATION Scott & White Healthcare  
 PANEL NAME 16.2 Cancer Biology (16.2 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	09/06/16
	RFA published in Texas Register	07/24/15	09/06/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/09/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/09/16
	Date application submitted	10/12/15	04/09/16
	Method of submission	CARS	04/09/16
	Within receipt period	YES	04/09/16
	Request for extension to submit application after CARS closed	N/A	04/09/16
	Request for extension for late application submission accepted	N/A	04/09/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/09/16
	Donation(s) made to CPRIT/foundation	NO	04/09/16
	Assigned to primary reviewers	N/A	04/09/16
	Applicant notified of review panel assignment	11/25/15	04/09/16
	Primary Reviewer 1 COI signed	N/A	04/09/16
	Primary Reviewer 2 COI signed	N/A	04/09/16
	Primary Reviewer 3 COI signed	N/A	04/09/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/09/16
	Primary Reviewer 1 critique submitted	N/A	04/09/16
	Primary Reviewer 2 critique submitted	N/A	04/09/16
	Primary Reviewer 3 critique submitted	N/A	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/09/16
	COI indicated by non-primary reviewer	N/A	04/09/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/09/16
4. Peer Review Meeting	Recommended for full review	N/A	04/09/16
	Applicant notified of outcome	N/A	04/09/16
	Assigned to primary reviewers	12/23/15	04/09/16
	Primary Reviewer 1 COI signed	02/14/16	04/09/16
	Primary Reviewer 2 COI signed	12/18/15	04/09/16
	Primary Reviewer 3 COI signed	11/16/15	04/09/16
	Primary (Advocate) Reviewer 4 COI signed	11/09/15	04/09/16
	Primary Reviewer 1 critique submitted	03/01/16	04/09/16
	Primary Reviewer 2 critique submitted	03/06/16	04/09/16
	Primary Reviewer 3 critique submitted	02/05/16	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	01/10/16	04/09/16
	COI indicated by non-primary reviewer	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
	Discussed at Peer Review Meeting	YES	04/09/16
	Peer Review Meeting	03/15/16	04/09/16
5. Final SRC Recommendation	Post review statements signed	03/24/16	04/09/16
	Third Party Observer Report	03/21/16	04/09/16
	Score report delivered to CSO	03/28/16	04/09/16
	Recommended for SRC Review	YES	04/09/16
	COI indicated by SRC member	NONE	09/02/16
	COI recused from participation	N/A	09/02/16
6. PIC Review	SRC Meeting	09/01/16	09/02/16
	Third Party Observer Report	09/04/16	09/06/16
	Recommended for grant award	YES	09/02/16
	SRC Chair Notification to PIC and OC	09/02/16	09/02/16
7. Oversight Committee Approval	COI indicated by PIC member	NONE	09/06/16
	COI recused from participation	N/A	09/06/16
	PIC review meeting	09/06/16	09/06/16
	Recommended for grant award	YES	09/06/16
7. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	09/16/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
7. Oversight Committee Approval	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR160077**  
**Recruitment of Established Investigators**  
**Nomination of Michael F. Clarke, M.D.**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Established Investigators* Request for Applications (RFA). CPRIT received seven applications for cycles 16.10 through 16.12 in response to this 16.1 RFA. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

Pursuant to 25 T.A.C. § 702.19, I granted Dr. Willson a waiver from the general prohibition against communicating with applicant institutions. The waiver allows him to discuss with applicant institutions CPRIT's plan for reviewing recruitment applications submitted in April, May, or June of this year and projected timelines for final decisions. The time-sensitive nature of recruitment offers, especially during the traditional summer recruiting season, necessitates CPRIT feedback on the status of the pending applications. Dr. Willson has not and will not discuss the individual merits of the pending applications with applicant institutions. Notice of this waiver was sent to the Oversight Committee on June 27, 2016.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

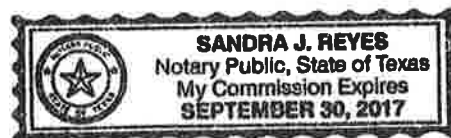
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6<sup>th</sup> day of September, 2016,  
by WAYNE R. ROBERTS.

  
Sandra Reyes  
Notary Public, State of Texas



Notary without Bond



**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS**  
**APPLICATION PEDIGREE**

**FY** 2016  
**CYCLE** 10  
**PROGRAM** Research  
**AWARD MECHANISM** Recruitment of Established Investigators (REI)  
**APPLICATION ID** RR160077  
**APPLICATION TITLE** Recruitment of Established Investigator- Michael F. Clarke, MD  
**NOMINATOR NAME** Dmitrovsky, Ethan  
**CANDIDATE NAME** Clarke, Michael  
**ORGANIZATION** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME** Recruitment FY16 Cycle 10 (REC 16.10)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA Approved by CSO	09/18/15	09/06/16
	RFA published in Texas Register	09/11/15	09/06/16
	CPRIT Application Receipt Cycle opened	03/21/16	07/01/16
	CPRIT Application Receipt Cycle closed	04/20/16	07/01/16
	Date application submitted	04/19/16	07/01/16
	Method of submission	CARS	07/01/16
	Within receipt period	YES	07/01/16
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/01/16
	Donation(s) made to CPRIT/foundation	NO	07/01/16
	Assigned to primary reviewers	05/01/16	07/01/16
	Applicant notified of review panel assignment	N/A	07/01/16
	Primary Reviewer 1 COI signed	05/26/16	07/01/16
	Primary Reviewer 2 COI signed	05/25/16	07/01/16
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	05/13/16	07/01/16
	Primary Reviewer 2 critique submitted	05/20/16	07/01/16
	COI indicated by non-primary reviewer	NONE	07/01/16
	COI recused from participation	N/A	07/01/16
	Discussed at Peer Review Meeting	YES	07/01/16
	Peer Review Meeting	05/26/16	07/01/16
	Post review statements signed	06/22/16	07/01/16
	Third Party Observer Report	06/03/16	07/01/16
	Score report delivered to CSO	06/10/16	07/01/16
<b>4. Final SRC Recommendation</b>	Recommended for SRC Review	YES	07/01/16
	COI indicated by SRC member	NONE	07/01/16
	COI recused from participation	N/A	07/01/16
	SRC Meeting	05/26/16	07/01/16
	Third Party Observer Report	06/03/16	07/01/16
	Recommended for grant award	N/A*	09/02/16
<b>4. Final SRC Recommendation</b>	SRC Chair Notification to PIC and OC	N/A*	09/06/16
	COI indicated by SRC member	NONE	09/01/16
	COI recused from participation	N/A	09/01/16
	SRC Meeting	09/01/16	09/01/16
	Third Party Observer Report	09/04/16	09/06/16
	Recommended for grant award	YES	09/01/16
<b>5. PIC Review</b>	SRC Chair Notification to PIC and OC	09/02/16	09/02/16
	Applicant not employed by grantee prior to SRC date	YES	09/06/16
	COI indicated by PIC member	NONE	09/06/16
	COI recused from participation	N/A	09/06/16
	PIC review meeting	09/06/16	09/06/16
<b>6. Oversight Committee Approval</b>	Recommended for grant award	YES	09/06/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	09/14/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*The SRC did not act upon this application.

\*Pursuant to 25 TAC 702.19, CPRIT CEO granted Dr. Willson a waiver from the general prohibition against communicating with grant applicant institutions submitting recruitment grant award applications between April-June

The identity of the attesting party is retained by CPRIT.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR160080**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Esra Akbay Ph.D.**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 21 applications, including one that was withdrawn, for cycles 16.10 through 16.12 in response to this 16.1 RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

Pursuant to 25 T.A.C. § 702.19, I granted Dr. Willson a waiver from the general prohibition against communicating with applicant institutions. The waiver allows him to discuss with applicant institutions CPRIT's plan for reviewing recruitment applications submitted in April, May, or June of this year and projected timelines for final decisions. The time-sensitive nature of recruitment offers, especially during the traditional summer recruiting season, necessitates CPRIT feedback on the status of the pending applications. Dr. Willson has not and will not discuss the individual merits of the pending applications with applicant institutions. Notice of this waiver was sent to the Oversight Committee on June 27, 2016.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

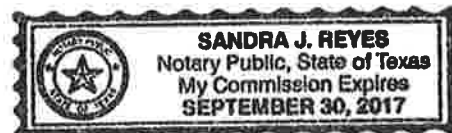
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.  
This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6<sup>th</sup> day of September, 2016,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Sandra Reyes  
Notary Public, State of Texas



Notary without Bond



**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS**  
**APPLICATION PEDIGREE**

**FY** 2016  
**CYCLE** 11  
**PROGRAM** Research  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR160080  
**APPLICATION TITLE** Nomination of Esra Akbay, Ph.D. for a First-Time, Tenure-Track Faculty Member Recruitment Award  
**NOMINATOR NAME** Fitz, John  
**CANDIDATE NAME** Akbay, Esra  
**ORGANIZATION** The University of Texas Southwestern Medical Center  
**PANEL NAME** Recruitment FY16 Cycle 11 (REC 16.11)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA Approved by CSO	09/18/15	09/06/16
	RFA published in Texas Register	09/11/15	09/06/16
	CPRIT Application Receipt Cycle opened	04/21/16	07/01/16
	CPRIT Application Receipt Cycle closed	05/20/16	07/01/16
	Date application submitted	05/13/16	07/01/16
	Method of submission	CARS	07/01/16
	Within receipt period	YES	07/01/16
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/01/16
	Donation(s) made to CPRIT/foundation	NO	07/01/16
	Assigned to primary reviewers	06/01/16	07/01/16
	Applicant notified of review panel assignment	N/A	07/01/16
	Primary Reviewer 1 COI signed	05/26/16	07/01/16
	Primary Reviewer 2 COI signed	06/01/16	07/01/16
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	06/16/16	07/01/16
	Primary Reviewer 2 critique submitted	06/16/16	07/01/16
	COI indicated by non-primary reviewer	NONE	07/01/16
	COI recused from participation	N/A	07/01/16
	Discussed at Peer Review Meeting	YES	07/01/16
	Peer Review Meeting	06/16/16	07/01/16
	Post review statements signed	06/24/16	07/01/16
	Third Party Observer Report	06/21/16	07/01/16
	Score report delivered to CSO	06/23/16	07/01/16
	Recommended for SRC Review	YES	07/01/16
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	07/01/16
	COI recused from participation	N/A	07/01/16
	SRC Meeting	06/16/16	07/01/16
	Third Party Observer Report	06/21/16	07/01/16
	Recommended for grant award	N/A*	09/01/16
	SRC Chair Notification to PIC and OC	N/A*	09/06/16
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	09/01/16
	COI recused from participation	N/A	09/01/16
	SRC Meeting	09/01/16	09/01/16
	Third Party Observer Report	09/04/16	09/06/16
	Recommended for grant award	YES	09/01/16
<b>5. PIC Review</b>	SRC Chair Notification to PIC and OC	09/02/16	09/02/16
	Applicant not employed by grantee prior to SRC date	YES	09/06/16
	COI indicated by PIC member	NONE	09/06/16
	COI recused from participation	N/A	09/06/16
	PIC review meeting	09/06/16	09/06/16
<b>6. Oversight Committee Approval</b>	Recommended for grant award	YES	09/06/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	09/14/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*The SRC did not act upon this application.

\*Pursuant to 25 TAC 702.19, CPRIT CEO granted Dr. Willson a waiver from the general prohibition against communicating with grant applicant institutions submitting recruitment grant award applications between April-June

The identity of the attesting party is retained by CPRIT.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR160082**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Xiao-chen Bai, Ph.D.**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 21 applications, including one that was withdrawn, for cycles 16.10 through 16.12 in response to this 16.1 RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

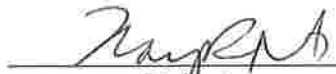
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- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

Pursuant to 25 T.A.C. § 702.19, I granted Dr. Willson a waiver from the general prohibition against communicating with applicant institutions. The waiver allows him to discuss with applicant institutions CPRIT's plan for reviewing recruitment applications submitted in April, May, or June of this year and projected timelines for final decisions. The time-sensitive nature of recruitment offers, especially during the traditional summer recruiting season, necessitates CPRIT feedback on the status of the pending applications. Dr. Willson has not and will not discuss the individual merits of the pending applications with applicant institutions. Notice of this waiver was sent to the Oversight Committee on June 27, 2016.


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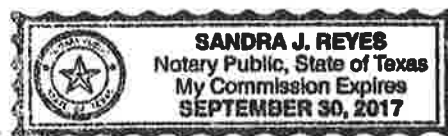
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Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6<sup>th</sup> day of September, 2016,  
by WAYNE R. ROBERTS.

  
Sandra Reyes  
Notary Public, State of Texas



Notary without Bond

**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS**  
**APPLICATION PEDIGREE**

**FY** 2016  
**CYCLE** 11  
**PROGRAM** Research  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR160082  
**APPLICATION TITLE** Nomination of Xiao-chen Bai, Ph.D. for a CPRIT First-Time, Tenure-Track Faculty Member Award  
**NOMINATOR NAME** Fitz, John  
**CANDIDATE NAME** Bai, Xiao-chen  
**ORGANIZATION** The University of Texas Southwestern Medical Center  
**PANEL NAME** Recruitment FY16 Cycle 11 (REC 16.11)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA Approved by CSO	09/18/15	09/06/16
	RFA published in Texas Register	09/11/15	09/06/16
	CPRIT Application Receipt Cycle opened	04/21/16	07/01/16
	CPRIT Application Receipt Cycle closed	05/20/16	07/01/16
	Date application submitted	05/16/16	07/01/16
	Method of submission	CARS	07/01/16
	Within receipt period	YES	07/01/16
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/01/16
	Donation(s) made to CPRIT/foundation	NO	07/01/16
	Assigned to primary reviewers	06/01/16	07/01/16
	Applicant notified of review panel assignment	N/A	07/01/16
	Primary Reviewer 1 COI signed	05/26/16	07/01/16
	Primary Reviewer 2 COI signed	05/25/16	07/01/16
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	06/12/16	07/01/16
	Primary Reviewer 2 critique submitted	06/16/16	07/01/16
	COI indicated by non-primary reviewer	NONE	07/01/16
	COI recused from participation	N/A	07/01/16
	Discussed at Peer Review Meeting	YES	07/01/16
	Peer Review Meeting	06/16/16	07/01/16
	Post review statements signed	06/24/16	07/01/16
	Third Party Observer Report	06/21/16	07/01/16
	Score report delivered to CSO	06/23/16	07/01/16
<b>4. Final SRC Recommendation</b>	Recommended for SRC Review	YES	07/01/16
	COI indicated by SRC member	NONE	07/01/16
	COI recused from participation	N/A	07/01/16
	SRC Meeting	06/16/16	07/01/16
	Third Party Observer Report	06/21/16	07/01/16
	Recommended for grant award	N/A*	09/02/16
<b>4. Final SRC Recommendation</b>	SRC Chair Notification to PIC and OC	N/A*	09/06/16
	COI indicated by SRC member	NONE	09/01/16
	COI recused from participation	N/A	09/01/16
	SRC Meeting	09/01/16	09/01/16
	Third Party Observer Report	09/04/16	09/06/16
	Recommended for grant award	YES	09/01/16
<b>5. PIC Review</b>	SRC Chair Notification to PIC and OC	09/02/16	09/02/16
	Applicant not employed by grantee prior to SRC date	YES	09/06/16
	COI indicated by PIC member	NONE	09/06/16
	COI recused from participation	N/A	09/06/16
	PIC review meeting	09/06/16	09/06/16
<b>6. Oversight Committee Approval</b>	Recommended for grant award	YES	09/06/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	09/14/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*The SRC did not act upon this application.

\*Pursuant to 25 TAC 702.19, CPRIT CEO granted Dr. Willson a waiver from the general prohibition against communicating with grant applicant institutions submitting recruitment grant award applications between April-June

The identity of the attesting party is retained by CPRIT.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR160083**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Wenbo Li**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 21 applications, including one that was withdrawn, for cycles 16.10 through 16.12 in response to this 16.1 RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle



- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

Pursuant to 25 T.A.C. § 702.19, I granted Dr. Willson a waiver from the general prohibition against communicating with applicant institutions. The waiver allows him to discuss with applicant institutions CPRIT's plan for reviewing recruitment applications submitted in April, May, or June of this year and projected timelines for final decisions. The time-sensitive nature of recruitment offers, especially during the traditional summer recruiting season, necessitates CPRIT feedback on the status of the pending applications. Dr. Willson has not and will not discuss the individual merits of the pending applications with applicant institutions. Notice of this waiver was sent to the Oversight Committee on June 27, 2016.


In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

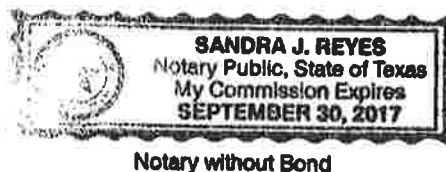
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6<sup>th</sup> day of September, 2016,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Sandra Reyes  
Notary Public, State of Texas



**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS**  
**APPLICATION PEDIGREE**

**FY** 2016  
**CYCLE** 11  
**PROGRAM** Research  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR160083  
**APPLICATION TITLE** Recruitment of First-Time, Tenure-Track Faculty Members, Wenbo Li  
**NOMINATOR NAME** Stancel, George  
**CANDIDATE NAME** Li, Wenbo  
**ORGANIZATION** The University of Texas Health Science Center at Houston  
**PANEL NAME** Recruitment FY16 Cycle 11 (REC 16.11)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA Approved by CSO	09/18/15	09/06/16
	RFA published in Texas Register	09/11/15	09/06/16
	CPRIT Application Receipt Cycle opened	04/21/16	07/01/16
	CPRIT Application Receipt Cycle closed	05/20/16	07/01/16
	Date application submitted	05/19/16	07/01/16
	Method of submission	CARS	07/01/16
	Within receipt period	YES	07/01/16
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/01/16
	Donation(s) made to CPRIT/foundation	NO	07/01/16
	Assigned to primary reviewers	06/01/16	07/01/16
	Applicant notified of review panel assignment	N/A	07/01/16
	Primary Reviewer 1 COI signed	06/01/16	07/01/16
	Primary Reviewer 2 COI signed	05/27/16	07/01/16
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	06/14/16	07/01/16
	Primary Reviewer 2 critique submitted	06/05/16	07/01/16
	COI indicated by non-primary reviewer	NONE	07/01/16
	COI recused from participation	N/A	07/01/16
	Discussed at Peer Review Meeting	YES	07/01/16
	Peer Review Meeting	06/16/16	07/01/16
	Post review statements signed	06/24/16	07/01/16
	Third Party Observer Report	06/21/16	07/01/16
	Score report delivered to CSO	06/23/16	07/01/16
<b>4. Final SRC Recommendation</b>	Recommended for SRC Review	YES	07/01/16
	COI indicated by SRC member	NONE	07/01/16
	COI recused from participation	N/A	07/01/16
	SRC Meeting	06/16/16	07/01/16
	Third Party Observer Report	06/21/16	07/01/16
	Recommended for grant award	N/A*	09/02/16
<b>4. Final SRC Recommendation</b>	SRC Chair Notification to PIC and OC	N/A*	09/06/16
	COI Indicated by SRC member	NONE	09/01/16
	COI recused from participation	N/A	09/01/16
	SRC Meeting	09/01/16	09/01/16
	Third Party Observer Report	09/04/16	09/06/16
	Recommended for grant award	YES	09/01/16
<b>5. PIC Review</b>	SRC Chair Notification to PIC and OC	09/02/16	09/02/16
	Applicant not employed by grantee prior to SRC date	YES	09/06/16
	COI indicated by PIC member	NONE	09/06/16
	COI recused from participation	N/A	09/06/16
	PIC review meeting	09/06/16	09/06/16
<b>6. Oversight Committee Approval</b>	Recommended for grant award	YES	09/06/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	09/14/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*The SRC did not act upon this application.

\*Pursuant to 25 TAC 702.19, CPRIT CEO granted Dr. Willson a waiver from the general prohibition against communicating with grant applicant institutions submitting recruitment grant award applications between April-June

The identity of the attesting party is retained by CPRIT.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR160088**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Dr. David Taylor**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 21 applications, including one that was withdrawn, for cycles 16.10 through 16.12 in response to this 16.1 RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle




- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

Pursuant to 25 T.A.C. § 702.19, I granted Dr. Willson a waiver from the general prohibition against communicating with applicant institutions. The waiver allows him to discuss with applicant institutions CPRIT's plan for reviewing recruitment applications submitted in April, May, or June of this year and projected timelines for final decisions. The time-sensitive nature of recruitment offers, especially during the traditional summer recruiting season, necessitates CPRIT feedback on the status of the pending applications. Dr. Willson has not and will not discuss the individual merits of the pending applications with applicant institutions. Notice of this waiver was sent to the Oversight Committee on June 27, 2016.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

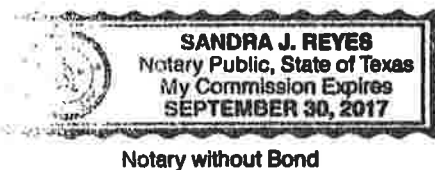
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6<sup>th</sup> day of September, 2016,  
by WAYNE R. ROBERTS.

  
Sandra Reyes  
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

**FY** 2016  
**CYCLE** 11  
**PROGRAM** Research  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR160088  
**APPLICATION TITLE** Recruitment of First-Time, Tenure-Track Faculty Member - Dr. David Taylor  
**NOMINATOR NAME** Appling, Dean  
**CANDIDATE NAME** Taylor, David  
**ORGANIZATION** The University of Texas at Austin  
**PANEL NAME** Recruitment FY16 Cycle 11 (REC 16.11)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	09/06/16
	RFA published in Texas Register	09/11/15	09/06/16
	CPRIT Application Receipt Cycle opened	04/21/16	07/01/16
	CPRIT Application Receipt Cycle closed	05/20/16	07/01/16
	Date application submitted	05/20/16	07/01/16
	Method of submission	CARS	07/01/16
	Within receipt period	YES	07/01/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	07/01/16
	Donation(s) made to CPRIT/foundation	NO	07/01/16
	Assigned to primary reviewers	06/01/16	07/01/16
	Applicant notified of review panel assignment	N/A	07/01/16
	Primary Reviewer 1 COI signed	06/01/16	07/01/16
	Primary Reviewer 2 COI signed	05/26/16	07/01/16
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	06/15/16	07/01/16
	Primary Reviewer 2 critique submitted	06/12/16	07/01/16
	COI indicated by non-primary reviewer	NONE	07/01/16
	COI recused from participation	N/A	07/01/16
	Discussed at Peer Review Meeting	YES	07/01/16
	Peer Review Meeting	06/16/16	07/01/16
	Post review statements signed	06/24/16	07/01/16
	Third Party Observer Report	06/21/16	07/01/16
	Score report delivered to CSO	06/23/16	07/01/16
4. Final SRC Recommendation	Recommended for SRC Review	YES	07/01/16
	COI indicated by SRC member	NONE	07/01/16
	COI recused from participation	N/A	07/01/16
	SRC Meeting	06/16/16	07/01/16
	Third Party Observer Report	06/21/16	07/01/16
	Recommended for grant award	N/A*	09/02/16
4. Final SRC Recommendation	SRC Chair Notification to PIC and OC	N/A*	09/06/16
	COI indicated by SRC member	NONE	09/01/16
	COI recused from participation	N/A	09/01/16
	SRC Meeting	09/01/16	09/01/16
	Third Party Observer Report	09/04/16	09/06/16
	Recommended for grant award	YES	09/01/16
5. PIC Review	SRC Chair Notification to PIC and OC	09/02/16	09/02/16
	Applicant not employed by grantee prior to SRC date	YES	09/06/16
	COI indicated by PIC member	NONE	09/06/16
	COI recused from participation	N/A	09/06/16
	PIC review meeting	09/06/16	09/06/16
6. Oversight Committee Approval	Recommended for grant award	YES	09/06/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	09/14/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*The SRC did not act upon this application.

\*Pursuant to 25 TAC 702.19, CPRIT CEO granted Dr. Willson a waiver from the general prohibition against communicating with grant applicant institutions submitting recruitment grant award applications between April-June

The identity of the attesting party is retained by CPRIT.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR160089**  
**Recruitment of Rising Stars**  
**Nomination of Dr. Robert Jenq**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Rising Stars* Request for Applications (RFA). CPRIT received two applications for cycles 16.10 through 16.12 in response to this 16.1 RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
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- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

Pursuant to 25 T.A.C. § 702.19, I granted Dr. Willson a waiver from the general prohibition against communicating with applicant institutions. The waiver allows him to discuss with applicant institutions CPRIT's plan for reviewing recruitment applications submitted in April, May, or June of this year and projected timelines for final decisions. The time-sensitive nature of recruitment offers, especially during the traditional summer recruiting season, necessitates CPRIT feedback on the status of the pending applications. Dr. Willson has not and will not discuss the individual merits of the pending applications with applicant institutions. Notice of this waiver was sent to the Oversight Committee on June 27, 2016.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

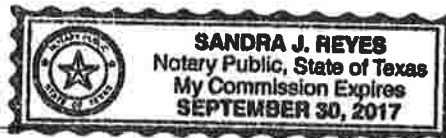
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.  
This statement is true."

  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 16<sup>th</sup> day of September, 2016,  
by WAYNE R. ROBERTS.

  
Sandra Reyes  
Notary Public, State of Texas



Notary without Bond

**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS**  
**APPLICATION PEDIGREE**

**FY** 2016  
**CYCLE** 11  
**PROGRAM** Research  
**AWARD MECHANISM** Recruitment of Rising Stars (RRS)  
**APPLICATION ID** RR160089  
**APPLICATION TITLE** Recruitment of Rising Stars- Dr. Robert Jenq  
**NOMINATOR NAME** Dmitrovsky, Ethan  
**CANDIDATE NAME** Jenq, Robert  
**ORGANIZATION** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME** Recruitment FY16 Cycle 11 (REC 16.11)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA Approved by CSO	09/18/15	09/06/16
	RFA published in Texas Register	09/11/15	09/06/16
	CPRIT Application Receipt Cycle opened	04/21/16	07/01/16
	CPRIT Application Receipt Cycle closed	05/20/16	07/01/16
	Date application submitted	05/19/16	07/01/16
	Method of submission	CARS	07/01/16
	Within receipt period	YES	07/01/16
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/01/16
	Donation(s) made to CPRIT/foundation	NO	07/01/16
	Assigned to primary reviewers	06/01/16	07/01/16
	Applicant notified of review panel assignment	N/A	07/01/16
	Primary Reviewer 1 COI signed	05/31/16	07/01/16
	Primary Reviewer 2 COI signed	05/26/16	07/01/16
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	06/16/16	07/01/16
	Primary Reviewer 2 critique submitted	06/12/16	07/01/16
	COI indicated by non-primary reviewer	O'Reilly, Richard	07/01/16
	COI recused from participation	YES	07/01/16
	Discussed at Peer Review Meeting	YES	07/01/16
	Peer Review Meeting	06/16/16	07/01/16
	Post review statements signed	06/24/16	07/01/16
	Third Party Observer Report	06/21/16	07/01/16
	Score report delivered to CSO	06/23/16	07/01/16
<b>4. Final SRC Recommendation</b>	Recommended for SRC Review	YES	07/01/16
	COI indicated by SRC member	O'Reilly, Richard	07/01/16
	COI recused from participation	YES	07/01/16
	SRC Meeting	06/16/16	07/01/16
	Third Party Observer Report	06/21/16	07/01/16
<b>4. Final SRC Recommendation</b>	Recommended for grant award	N/A*	09/02/16
	SRC Chair Notification to PIC and OC	N/A*	09/06/16
	COI indicated by SRC member	NONE	09/01/16
	COI recused from participation	N/A	09/01/16
	SRC Meeting	09/01/16	09/01/16
	Third Party Observer Report	09/04/16	09/06/16
<b>5. PIC Review</b>	Recommended for grant award	YES	09/01/16
	SRC Chair Notification to PIC and OC	09/02/16	09/02/16
	Applicant not employed by grantee prior to SRC date	YES	09/06/16
	COI indicated by PIC member	NONE	09/06/16
	COI recused from participation	N/A	09/06/16
<b>6. Oversight Committee Approval</b>	PIC review meeting	09/06/16	09/06/16
	Recommended for grant award	YES	09/06/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	09/14/16	
	Award approved by Oversight Committee	YES/NO	
<b>6. Oversight Committee Approval</b>	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*The SRC did not act upon this application.

\*Pursuant to 25 TAC 702.19, CPRIT CEO granted Dr. Willson a waiver from the general prohibition against communicating with grant applicant institutions submitting recruitment grant award applications between April-June

The identity of the attesting party is retained by CPRIT.





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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR160093**  
**Recruitment of Established Investigators**  
**Nomination of Dr. Gail Eckhardt**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Established Investigators* Request for Applications (RFA). CPRIT received seven applications for cycles 16.10 through 16.12 in response to this 16.1 RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

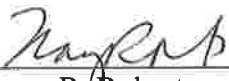
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

Pursuant to 25 T.A.C. § 702.19, I granted Dr. Willson a waiver from the general prohibition against communicating with applicant institutions. The waiver allows him to discuss with applicant institutions CPRIT's plan for reviewing recruitment applications submitted in April, May, or June of this year and projected timelines for final decisions. The time-sensitive nature of recruitment offers, especially during the traditional summer recruiting season, necessitates CPRIT feedback on the status of the pending applications. Dr. Willson has not and will not discuss the individual merits of the pending applications with applicant institutions. Notice of this waiver was sent to the Oversight Committee on June 27, 2016.


In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

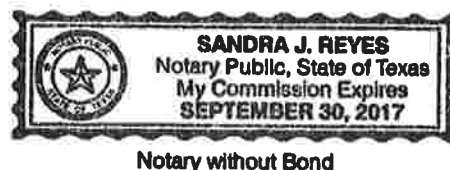
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6<sup>th</sup> day of September, 2016,  
by WAYNE R. ROBERTS.

  
Sandra Reyes  
Notary Public, State of Texas



**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS**  
**APPLICATION PEDIGREE**

**FY** 2016  
**CYCLE** 12  
**PROGRAM** Research  
**AWARD MECHANISM** Recruitment of Established Investigators (REI)  
**APPLICATION ID** RR160093  
**APPLICATION TITLE** REI Application for Dr. Gail Eckhardt, MD, as the Inaugural Director of the LiveStrong Cancer Institutes at UT Austin Dell Medical School  
**NOMINATOR NAME** Johnston, Sterling  
**CANDIDATE NAME** Eckhardt, Gail  
**ORGANIZATION** The University of Texas at Austin  
**PANEL NAME** Recruitment FY16 Cycle 12 (REC 16.12)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA Approved by CSO	09/18/15	09/06/16
	RFA published in Texas Register	09/11/15	09/06/16
	CPRIT Application Receipt Cycle opened	05/21/16	08/12/16
	CPRIT Application Receipt Cycle closed	06/20/16	08/12/16
	Date application submitted	06/20/16	08/12/16
	Method of submission	CARS	08/12/16
	Within receipt period	YES	08/12/16
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	08/12/16
	Donation(s) made to CPRIT/foundation	NO	08/12/16
	Assigned to primary reviewers	6/30/16	08/12/16
	Applicant notified of review panel assignment	N/A	08/12/16
	Primary Reviewer 1 COI signed	6/28/16	08/12/16
	Primary Reviewer 2 COI signed	6/24/16	08/12/16
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	7/13/16	08/12/16
	Primary Reviewer 2 critique submitted	7/13/16	08/12/16
	COI indicated by non-primary reviewer	NONE	08/12/16
	COI recused from participation	N/A	08/12/16
	Discussed at Peer Review Meeting	YES	08/12/16
	Peer Review Meeting	07/14/16	08/12/16
	Post review statements signed	07/15/16	08/12/16
	Third Party Observer Report	07/25/16	09/06/16
	Score report delivered to CSO	07/29/16	08/12/16
	Recommended for SRC Review	YES	08/12/16
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	08/12/16
	COI recused from participation	N/A	08/12/16
	SRC Meeting	07/14/16	08/12/16
	Third Party Observer Report	07/25/16	09/06/16
	Recommended for grant award	N/A*	09/02/16
	SRC Chair Notification to PIC and OC	N/A*	09/06/16
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	09/01/16
	COI recused from participation	N/A	09/01/16
	SRC Meeting	09/01/16	09/01/16
	Third Party Observer Report	09/04/16	09/06/16
	Recommended for grant award	YES	09/01/16
	SRC Chair Notification to PIC and OC	09/02/16	09/02/16
<b>5. PIC Review</b>	Applicant not employed by grantee prior to SRC date	YES	09/06/16
	COI indicated by PIC member	NONE	09/06/16
	COI recused from participation	N/A	09/06/16
	PIC review meeting	09/06/16	09/06/16
	Recommended for grant award	YES	09/06/16
<b>6. Oversight Committee Approval</b>	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	09/14/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*The SRC did not act upon this application.

\*Pursuant to 25 TAC 702.19, CPRIT CEO granted Dr. Willson a waiver from the general prohibition against communicating with grant applicant institutions submitting recruitment grant award applications between April-June

The identity of the attesting party is retained by CPRIT.





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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR160096**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Dr. Xin Ye**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 21 applications, including one that was withdrawn, for cycles 16.10 through 16.12 in response to this 16.1 RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

Pursuant to 25 T.A.C. § 702.19, I granted Dr. Willson a waiver from the general prohibition against communicating with applicant institutions. The waiver allows him to discuss with applicant institutions CPRIT's plan for reviewing recruitment applications submitted in April, May, or June of this year and projected timelines for final decisions. The time-sensitive nature of recruitment offers, especially during the traditional summer recruiting season, necessitates CPRIT feedback on the status of the pending applications. Dr. Willson has not and will not discuss the individual merits of the pending applications with applicant institutions. Notice of this waiver was sent to the Oversight Committee on June 27, 2016.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

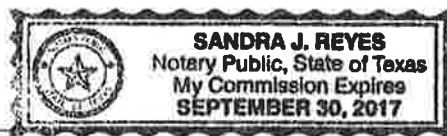
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6<sup>th</sup> day of September, 2016,  
by WAYNE R. ROBERTS.

  
Sandra Reyes  
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

**FY** 2016  
**CYCLE** 12  
**PROGRAM** Research  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR160096  
**APPLICATION TITLE** Recruitment of First-time, Tenure-Track Faculty - Dr. Xin Ye  
**NOMINATOR NAME** Dmitrovsky, Ethan  
**CANDIDATE NAME** Ye, Xin  
**ORGANIZATION** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME** Recruitment FY16 Cycle 12 (REC 16.12)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	09/06/16
	RFA published in Texas Register	09/11/15	09/06/16
	CPRIT Application Receipt Cycle opened	05/21/16	08/12/16
	CPRIT Application Receipt Cycle closed	06/20/16	08/12/16
	Date application submitted	06/17/16	08/12/16
	Method of submission	CARS	08/12/16
	Within receipt period	YES	08/12/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/12/16
	Donation(s) made to CPRIT/foundation	NO	08/12/16
	Assigned to primary reviewers	06/30/16	08/12/16
	Applicant notified of review panel assignment	N/A	08/12/16
	Primary Reviewer 1 COI signed	06/26/16	08/12/16
	Primary Reviewer 2 COI signed	06/29/16	08/12/16
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	07/06/16	08/12/16
	Primary Reviewer 2 critique submitted	07/07/16	08/12/16
	COI indicated by non-primary reviewer	NONE	08/12/16
	COI recused from participation	N/A	08/12/16
	Discussed at Peer Review Meeting	YES	08/12/16
	Peer Review Meeting	07/14/16	08/12/16
	Post review statements signed	07/15/16	08/12/16
	Third Party Observer Report	07/25/16	09/06/16
	Score report delivered to CSO	07/29/16	08/12/16
4. Final SRC Recommendation	Recommended for SRC Review	YES	08/12/16
	COI indicated by SRC member	NONE	08/12/16
	COI recused from participation	N/A	08/12/16
	SRC Meeting	07/14/16	08/12/16
	Third Party Observer Report	07/25/16	09/06/16
	Recommended for grant award	N/A*	09/02/16
4. Final SRC Recommendation	SRC Chair Notification to PIC and OC	N/A*	09/06/16
	COI indicated by SRC member	NONE	09/01/16
	COI recused from participation	N/A	09/01/16
	SRC Meeting	09/01/16	09/01/16
	Third Party Observer Report	09/04/16	09/06/16
	Recommended for grant award	YES	09/01/16
5. PIC Review	SRC Chair Notification to PIC and OC	09/02/16	09/02/16
	Applicant not employed by grantee prior to SRC date	YES	09/06/16
	COI indicated by PIC member	NONE	09/06/16
	COI recused from participation	N/A	09/06/16
	PIC review meeting	09/06/16	09/06/16
6. Oversight Committee Approval	Recommended for grant award	YES	09/06/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	09/14/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*The SRC did not act upon this application.

\*Pursuant to 25 TAC 702.19, CPRIT CEO granted Dr. Willson a waiver from the general prohibition against communicating with grant applicant institutions submitting recruitment grant award applications between April-June

The identity of the attesting party is retained by CPRIT.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR160097**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Dr. Han Xu**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 21 applications, including one that was withdrawn, for cycles 16.10 through 16.12 in response to this 16.1 RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:


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- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

Pursuant to 25 T.A.C. § 702.19, I granted Dr. Willson a waiver from the general prohibition against communicating with applicant institutions. The waiver allows him to discuss with applicant institutions CPRIT's plan for reviewing recruitment applications submitted in April, May, or June of this year and projected timelines for final decisions. The time-sensitive nature of recruitment offers, especially during the traditional summer recruiting season, necessitates CPRIT feedback on the status of the pending applications. Dr. Willson has not and will not discuss the individual merits of the pending applications with applicant institutions. Notice of this waiver was sent to the Oversight Committee on June 27, 2016.


In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

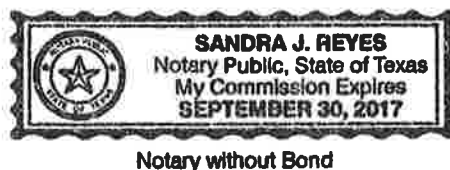
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.  
This statement is true."

  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6<sup>th</sup> day of September, 2016,  
by WAYNE R. ROBERTS.

  
Sandra Reyes  
Notary Public, State of Texas





**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS**  
**APPLICATION PEDIGREE**

**FY** 2016  
**CYCLE** 12  
**PROGRAM** Research  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR160097  
**APPLICATION TITLE** Recruitment of First-time, Tenure-Track Faculty - Dr. Han Xu  
**NOMINATOR NAME** Dmitrovsky, Ethan  
**CANDIDATE NAME** Xu, Han  
**ORGANIZATION** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME** Recruitment FY16 Cycle 12 (REC 16.12)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA Approved by CSO	09/18/15	09/06/16
	RFA published in Texas Register	09/11/15	09/06/16
	CPRIT Application Receipt Cycle opened	05/21/16	08/12/16
	CPRIT Application Receipt Cycle closed	06/20/16	08/12/16
	Date application submitted	06/17/16	08/12/16
	Method of submission	CARS	08/12/16
	Within receipt period	YES	08/12/16
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	08/12/16
	Donation(s) made to CPRIT/foundation	NO	08/12/16
	Assigned to primary reviewers	06/30/16	08/12/16
	Applicant notified of review panel assignment	N/A	08/12/16
	Primary Reviewer 1 COI signed	06/26/16	08/12/16
	Primary Reviewer 2 COI signed	06/24/16	08/12/16
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	07/06/16	08/12/16
	Primary Reviewer 2 critique submitted	07/10/16	08/12/16
	COI indicated by non-primary reviewer	NONE	08/12/16
	COI recused from participation	N/A	08/12/16
	Discussed at Peer Review Meeting	YES	08/12/16
	Peer Review Meeting	07/14/16	08/12/16
	Post review statements signed	07/15/16	08/12/16
	Third Party Observer Report	07/25/16	09/06/16
	Score report delivered to CSO	07/29/16	08/12/16
<b>4. Final SRC Recommendation</b>	Recommended for SRC Review	YES	08/12/16
	COI indicated by SRC member	NONE	08/12/16
	COI recused from participation	N/A	08/12/16
	SRC Meeting	07/14/16	08/12/16
	Third Party Observer Report	07/25/16	09/06/16
	Recommended for grant award	N/A*	09/02/16
<b>4. Final SRC Recommendation</b>	SRC Chair Notification to PIC and OC	N/A*	09/06/16
	COI indicated by SRC member	NONE	09/01/16
	COI recused from participation	N/A	09/01/16
	SRC Meeting	09/01/16	09/01/16
	Third Party Observer Report	09/04/16	09/06/16
	Recommended for grant award	YES	09/01/16
<b>5. PIC Review</b>	SRC Chair Notification to PIC and OC	09/02/16	09/02/16
	Applicant not employed by grantee prior to SRC date	YES	09/06/16
	COI indicated by PIC member	NONE	09/06/16
	COI recused from participation	N/A	09/06/16
	PIC review meeting	09/06/16	09/06/16
<b>6. Oversight Committee Approval</b>	Recommended for grant award	YES	09/06/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	09/14/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
<b>6. Oversight Committee Approval</b>	Advance authority approved by Oversight Committee	YES/NO	

\*The SRC did not act upon this application.

\*Pursuant to 25 TAC 702.19, CPRIT CEO granted Dr. Willson a waiver from the general prohibition against communicating with grant applicant institutions submitting recruitment grant award applications between April-June

The identity of the attesting party is retained by CPRIT.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR160101**  
**Recruitment of Established Investigators**  
**Nomination of Guo-Min Li, Ph.D.**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Established Investigators* Request for Applications (RFA). CPRIT received seven applications for cycles 16.10 through 16.12 in response to this 16.1 RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

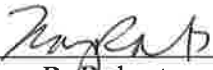
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

Pursuant to 25 T.A.C. § 702.19, I granted Dr. Willson a waiver from the general prohibition against communicating with applicant institutions. The waiver allows him to discuss with applicant institutions CPRIT's plan for reviewing recruitment applications submitted in April, May, or June of this year and projected timelines for final decisions. The time-sensitive nature of recruitment offers, especially during the traditional summer recruiting season, necessitates CPRIT feedback on the status of the pending applications. Dr. Willson has not and will not discuss the individual merits of the pending applications with applicant institutions. Notice of this waiver was sent to the Oversight Committee on June 27, 2016.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

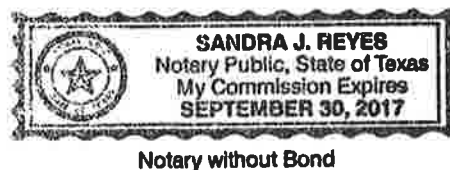
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6<sup>th</sup> day of September, 2016,  
by WAYNE R. ROBERTS.

  
Sandra Reyes  
Notary Public, State of Texas





CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2016  
 CYCLE 12  
 PROGRAM Research  
 AWARD MECHANISM Recruitment of Established Investigators (REI)  
 APPLICATION ID RR160101  
 APPLICATION TITLE Nomination of Guo-Min Li, Ph.D. for a CPRIT Established Investigator Award  
 NOMINATOR NAME Fitz, John  
 CANDIDATE NAME Li, Guo-Min  
 ORGANIZATION The University of Texas Southwestern Medical Center  
 PANEL NAME Recruitment FY16 Cycle 12 (REC 16.12)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	09/06/16
	RFA published in Texas Register	09/11/15	09/06/16
	CPRIT Application Receipt Cycle opened	05/21/16	08/12/16
	CPRIT Application Receipt Cycle closed	06/20/16	08/12/16
	Date application submitted	06/17/16	08/12/16
	Method of submission	CARS	08/12/16
	Within receipt period	YES	08/12/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/12/16
	Donation(s) made to CPRIT/foundation	NO	08/12/16
	Assigned to primary reviewers	06/30/16	08/12/16
	Applicant notified of review panel assignment	N/A	08/12/16
	Primary Reviewer 1 COI signed	06/29/16	08/12/16
	Primary Reviewer 2 COI signed	06/28/16	08/12/16
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	07/07/16	08/12/16
	Primary Reviewer 2 critique submitted	07/11/16	08/12/16
	COI indicated by non-primary reviewer	Jones, Peter	08/12/16
	COI recused from participation	YES	08/12/16
	Discussed at Peer Review Meeting	YES	08/12/16
	Peer Review Meeting	07/14/16	08/12/16
	Post review statements signed	07/15/16	08/12/16
	Third Party Observer Report	07/25/16	09/06/16
	Score report delivered to CSO	07/29/16	08/12/16
4. Final SRC Recommendation	Recommended for SRC Review	YES	08/12/16
	COI indicated by SRC member	Jones, Peter	08/12/16
	COI recused from participation	YES	08/12/16
	SRC Meeting	07/14/16	08/12/16
	Third Party Observer Report	07/25/16	09/06/16
	Recommended for grant award	N/A*	09/02/16
4. Final SRC Recommendation	SRC Chair Notification to PIC and OC	N/A*	09/06/16
	COI indicated by SRC member	NONE	09/01/16
	COI recused from participation	N/A	09/01/16
	SRC Meeting	09/01/16	09/01/16
	Third Party Observer Report	09/04/16	09/06/16
	Recommended for grant award	YES	09/01/16
5. PIC Review	SRC Chair Notification to PIC and OC	09/02/16	09/02/16
	Applicant not employed by grantee prior to SRC date	YES	09/06/16
	COI Indicated by PIC member	NONE	09/06/16
	COI recused from participation	N/A	09/06/16
	PIC review meeting	09/06/16	09/06/16
6. Oversight Committee Approval	Recommended for grant award	YES	09/06/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	09/14/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*The SRC did not act upon this application.

\*Pursuant to 25 TAC 702.19, CPRIT CEO granted Dr. Willson a waiver from the general prohibition against communicating with grant applicant institutions submitting recruitment grant award applications between April-June

The identity of the attesting party is retained by CPRIT.